

STRATEGIC ONE YEAR STATE WORKFORCE INVESTMENT PLAN

FOR

**TITLE I
OF THE WORKFORCE INVESTMENT ACT OF 1998
(WORKFORCE INVESTMENT SYSTEMS)**

AND

THE WAGNER -PEYSER ACT

STATE/COMMONWEALTH OF

UTAH

for the period of

JULY 1, 2004 - JULY 1, 2005

X FULL PLAN

TRANSITION PLAN

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PREAMBLE

These instructions are based on the planning requirements of Title I of the Workforce Investment Act, found primarily in sections 111 and 112, and the Wagner-Peyser Act and regulations. These instructions do not follow the order of the requirements found in the Acts; rather, they have been formatted to help States to create viable strategic plans.

States that opt to submit a Transition Plan for conditional approval must address all of the planning requirements outlined in the instructions. For those elements that are still in transition, the Plan should describe their strategies and timeline for implementation by July 1, 2000.

States should develop Plans that are as long or short as needed to address the following requirements; however, the Department suggests that Plans be less than 50 pages (without attachments).

EXECUTIVE SUMMARY

Enclose a brief summary (e.g., two pages or less) of the State Plan that gives a general overview of the State's workforce investment system. This executive summary should include a discussion of your State's economic and workforce development goals, and how the statewide workforce investment system will support them. It should also include an overview of major accomplishments in the development of your system as it exists today; a brief description of the system as it looks today; a snapshot of how the system (including major partner involvement) will change over the five-year period; and a description of how performance will improve as a result.

The following one year plan for the Department of Workforce Services (DWS) represents the first year of the next five year planning cycle.

The DWS mission is to "We provide employment and support services for our customers to improve their economic opportunities." The DWS vision states "We are preparing our customers to prosper now and as the workforce of the future." Since July 1997, DWS has and continues to play a major role in Utah's workforce investment system. The philosophy, goals, and strategic plan of DWS closely mirror those contained in WIA. DWS will continue to enhance universal access to all customers and promote the concept of seamless delivery of services. Furthermore, WIA contributes to DWS's goal of identifying more efficient and effective ways of delivering services to customers in a One-Stop environment supports the delivery of more cost-effective services.

While other states experiment with coordinating or consolidating workforce development services on different levels, Utah has completely integrated its system. Created through a bold vision of the future of quality workforce development, Utah's Department of Workforce Services (DWS) is a consolidation of state employment-related functions into a comprehensive service delivery system. Now job seeker and employer customers may access the services they need without the confusion and burden of multiple agency involvement. DWS is now legitimately –*Utah's Job Connection*.

Customer choice, service and performance are DWS' mission, motto and mantra. The first state to consolidate employment and welfare programs, Utah has established a statewide system of "one-stop" Employment Centers. Here, customers can easily access any or all of the services they need in an environment matched in look and feel from office to office. And all 37 strategically located, full-service Employment Centers offer the same array of services, creating connecting points for employers and job seekers throughout the state.

DWS continues to provide customers easy access to a myriad of services via the Internet at, www.jobs.utah.gov. Services available from this site include but are not limited to; Labor Market Information, application for Unemployment Insurance benefits, Job Seeker and Employer services, etc. Skills match will be an added feature of this site in the next few months. Utah leads the nation in the number of UI Tax services offered on line. Nearly 56,000 employers have access to these services. Nearly 40 percent of new employers chose to register on line.

Utah was one of only two states that quickly developed a system the Health Coverage Tax Credit, authorized as part of the Trade 2002 Act, to help lower the cost of health insurance and provide much needed relief for eligible workers.

The State office of Child Care is also integrated into DWS. For the past 7 years Office of Child Care has administered “Utah Work Life Awards” program. This program focuses on helping businesses be more successful by creating workplaces that support a diverse workforce and a culture that recognizes the work/life needs of its employees. The 10 companies selected to receive this yearly award have one thing in common – they have created family-friendly work places by addressing flexibility, dependent care, community involvement, opportunity and advancement, flexible benefits and education. Successful work/life programs can have a positive bottom-line impact for the companies.

What do customers say? Every year, DWS surveys its job seeker and employer customers, as well as DWS staff. Since consolidation, satisfaction indicators have continually increased, demonstrating Utah’s Job Connection is a success according to the most important groups of all – our customers!

As the One-Stop operator and as a Single-Service Delivery State, DWS administers its array of programs and services through five established regions and with the assistance of numerous partners. The State and Regional Councils on Workforce Services were established when then Governor Michael O. Leavitt signed H.B. 375 in 1996. These State and Regional Councils are essential to the success of the Department of Workforce Services. Consequently, the Legislature and Governor carefully defined their duties and place in Utah’s workforce development system. The Chair of each Regional Council is a member of State Workforce Investment Board (SWIB). Regional Councils ensure training and employment programs are designed and managed at the local level where the needs of business and individuals are best understood.

On April 21, 2004, the legislative Workforce Services and Community and Economic Development Interim Committee, in compliance with Title 35A, recommended the continuance of DWS beyond its July 1, 2005 Sunset date established in 1996 H.B. 375. The recommendation is for a 10 year continuance.

After experiencing an economic recession and employment contractions across the past two years, Utah’s economy started moving out of its economic funk in the second half of 2003. Although employment growth for 2003 only averages a paltry 0.1 percent, the average for the second half of the year is a more encouraging 0.5 percent. That’s still not much, but by December, employment growth stood at 1.2 percent and rising. The momentum has continued into 2004, with March’s employment growth rate at 1.4 percent.

The unemployment rate currently stands at 5.0 percent, although this is probably understated as Utah’s recent trend, in terms of revising the unemployment rate, is that the current estimations are low and the revisions move them upward. But whether the current rate is correct or in reality somewhat higher, in either case, the trend has been for a declining unemployment rate. Throughout 2003, the unemployment rate trended downward by roughly 0.8 of a percentage point. As the economy improves, Utah’s unemployment rate could temporary rise slightly as workers reemerge into the labor market. Before they are reemployed, they will officially be counted as unemployed. Utah’s unemployment rate is not expected to fall below 4.5 percent in 2004, as there is still much slack to be removed from the labor market.

The recent strengthening within the state’s employment picture is broad based across many industries. Health care has been the top performer, never slowing down during the past recession. In fact, this industry is actually experiencing a skills shortage in fields such as nursing, and technical positions. An encouragement is that recent high-employment-loss areas of construction and manufacturing have stabilized, and in the case of construction is once again growing. The professional, technical, and scientific business areas are growing once again and are one of the key foundational pieces to a growing and vibrant Utah economy.

Utah’s current unemployment rate is 5.0 percent. The Utah economy fared slightly better than the nation as a whole in 2003. However, Utah’s economy did not rebound from the jobs lost in 2002. In fact, Utah experienced its first employment contraction since 1964. This is significant, considering that employment contractions in Utah are rare. Utah welcomed a slight downward tick in its unemployment rate in 2003, ending the year with an annual rate just below 6 percent. Although the economy remained relatively weak, the number of claims for regular unemployment insurance (UI) benefits declined by 7 percent from the

pervious year and total benefit costs to Utah employers decreased by 12 percent. DWS has regional economists who forecast economic conditions locally and statewide and who have the responsibility to identify occupations in demand and industries with potential growth. This information is used to aid Employment Counselors in advising customers about employment opportunities and training that will enable the customers to gain the knowledge, skills, and abilities needed to obtain employment in occupations that are in demand.

DWS has established internal performance goals, measured by a variety of tools. To measure the quality of customer service, an annual survey is completed by both internal and external customers of DWS. Performance information required by DWS is collected electronically. The data collected is used to measure the effectiveness and efficiency of the services and to identify ways to continually improve the services provided by DWS. With the implementation of UWORKS computer systems, DWS collects WIA performance indicators.

DWS has developed a distinct vocabulary which is used throughout this plan. One-Stop services are provided in each of the DWS' Employment Centers (EC). All DWS employees are known as service providers. DWS does not refer to 'clients' or 'programs'; external customers receive services in compliance with funding stream requirements. All services that help the customer reach the goal of employment are supportive services, that is, they support the customer in attaining that goal. DWS has renamed the Labor Market Information division; the new designation of Workforce Information refers to the broader base of information now available.

I. PLAN DEVELOPMENT PROCESS:

- A. *Describe the process for developing the State Plan (including a timeline) that ensures meaningful public comment. Include a description of the Governor's and the State Board's involvement in drafting, reviewing and commenting on the Plan. What actions did your State take to collaborate in the development of the State plan with local elected officials, local workforce boards and youth councils, the business community (including small businesses), labor organizations, educators, vocational rehabilitation agencies, and the other interested parties, such as service providers, welfare agencies, community-based organizations, transportation providers and advocates? (§§111(g), 112(b)(1), 112(b)(9).)*

Upon receiving the new guidelines, the former state plan was reviewed, and used as our baseline for the development of the new state plan. The DWS Executive Director will perform her duties as liaison to the Governor by updating the Governor on the status and components of the state WIA plan. The plan was presented to the State Council via a phone conference discussing concerns regarding the plan. The State Council supported the recommended PY 2004 performance measures as they appear in this document. The state one-year plan was ready for the 30 day comment period beginning May 1, 2004. The plan was sent electronically to all Employment Centers and State Workforce Council members as well as posted on the DWS Internet site, jobs.utah.gov. The comment period for the plan was advertised in state and local newspapers. Hard copies of the plan were also available in all DWS Administration Offices and ECs. Comments and input were included in the development of the final Utah WIA One-year plan.

- B. *Include all comments received (or a summary), and demonstrate how comments were considered in the plan development process. (§112(b)(9).)*

The following is a summary of comments received in the 30-day comment period:

The following organizations provided comments during the comment period:

A specific time frame was devoted to discuss and incorporate comments into the plan.

II. STATE VISION AND GOALS:

- A. *What are the State's broad strategic economic and workforce development goals? (§§111(d)(2), 111(d)(6), 112(a), 112(b)(3).)*

Utah has already realized a number of benefits from its strategic planning and goal setting efforts. The state's broad strategic economic goal is to "build a statewide economy and infrastructure that supports a broad spectrum of opportunity for all citizens while advancing the standard of living and maintaining a high quality of life." The strategic plan also includes the following economic goals:

Utah will increase employment opportunities, employee income, encourage growth in its industries, contain the cost of doing business and adjust to a changing national economic climate. The DWS' Mission is "We provide employment and support services for our customers to improve their economic opportunities." The DWS Vision states, "We are preparing our customers to prosper now and as the workforce of the future." The following Strategic Goals established by DWS promotes our commitment to Utah's economy: "With efficiency, effectiveness, and humanity, the Department of Workforce Services will:

- ✓ Promote economic stability and self-sufficiency for our customers
- ✓ Foster (develop) a workforce that is prepared
- ✓ Foster an effective and efficient employment exchange
- ✓ Promote quality of work-life for DWS employees

Cooperation with all required and optional One-Stop partners will achieve these goals to ensure that duplication of services is avoided, to ensure that One-Stop delivery system partners share costs, and to ensure that services provided to all customers are accessible, effective and efficient. Universal services will be provided to customers as they access the electronic highway or visit ECs. The state's performance standards will ensure that the state workforce investment system will achieve continuous improvement in the delivery of services according to the performance indicators outlined in WIA and contained in this plan.

Currently, Utah has required economic measures including: total number of new jobs in Utah, net number of new businesses entities in Utah, net number of new jobs from new businesses, net number of jobs from existing businesses, number of new jobs in industries with above average compensation, average household income, average income per job, number of corporate headquarters with 200 or more employees located in Utah, number of dislocated workers, percent of dislocated workers who receive retraining, number of dislocated workers receiving employment at 85% of previous salary level, and average number of weeks dislocated workers are on unemployment.

- B. *Provide (in a few paragraphs) the State's vision of how the WIA statewide workforce investment system will help the State attain these strategic goals. This vision should address the specific emphases of Title I of the Act and provide a brief description of what the State's workforce investment system will look like at the end of the five-year period covered by this Plan. Some specific questions that should be answered by the vision statement are:*

- *In five years, how will services be further streamlined?*
- *What programs and funding streams will support service delivery through the One-Stop system?*
- *Typically, what information and services will be provided and how will customers access them? How will the goal of universal access be assured?*
- *For customers who need training, how will informed customer choice and the use of the Individual Training Accounts (ITAs) be maximized?*
- *How will Wagner-Peyser Act and unemployment insurance services be fully integrated into the system?*
- *How will the State's workforce investment system help achieve the goals of the State's welfare, education, and economic development systems?*
- *How will the youth programs be enhanced and expanded so young people have the resources and skills they need to succeed in the State's economy? (§§111(d)(2), 112(a).)*

The established Strategic Goals of DWS support the Workforce Investment Act. DWS believes continuation of the Workforce Investment Act fits well with the current mission and vision of DWS as *Utah's Job Connection*. To comply with WIA and to attain Utah's strategic economic and workforce development goals over the next years, DWS envisions Utah's workforce investment system in terms of service delivery, youth services and partnerships.

The executive summary describes the department's mission, vision and strategic goals as well as the roles our partners and state council play in the delivery of the Workforce Investment Act in Utah. The wide range of programs / funding streams that DWS administers helps Utah customers with seamless service.

Whether a customer's point of access to DWS is electronic, in person through an Employment Center, or out-stationed staff, or through contracted services, the customer will be able to access information and services relevant to their particular situation. These various points of contact will help ensure universal access to all customers, whether they need self-help, core, intensive or training services. For customers who need training, Individual Training Accounts provide the flexibility to training providers that meet their needs. DWS disseminates the necessary provider performance information that helps customers make informed choices.

DWS' youth strategy provides early and intensive involvement to assist youth in their education and other preparations so they can succeed in the workforce. Key partners and participants help meet this vision, with schools playing a crucial role in providing services to youth under WIA. In a partnership setting, youth are provided opportunities to develop work skills, knowledge and real experiences that help them to become successful adults. Youth receive information early in their school careers so that they can start to choose what they want to be "when they grow up." This effort helps reduce false starts in work and careers. Youth want to participate because services are easily accessible, focused on the developmental needs of the youth, and provide relevant information. Services go where the youth are and give them positive reasons to become involved. DWS designed some key elements into services to help ensure youth's success: services are year-round, community-based, have high but appropriate expectation and results and youth are provided intensive follow up. Employer participation is also a key element in services to youth.

DWS will continue to encourage the private sector to take a relatively more significant role in public/private partnerships. This will continue to occur as private sector partners increasingly see these partnerships as directly and positively impacting their business operations. Partnerships do and will require frank input and feedback from partners, educating partners on their responsibilities, and clarifying what each contributes to the success of all. DWS will continue revamping the partnerships with other government agencies, especially those outlined in the WIA. Turfism has and will continue to be reduced and trust increased through the common goals that have been established and the open communication that currently exists. Youth have become key customers in the workforce investment system, which means that relations with education organizations at all levels have been strengthened. Formal information sharing among government agencies has improved and ensures effective partnerships. These partnerships have created a common goal of improving the state's workforce investment system, which in turn also helps each partner realize their individual goals.

The improved workforce investment system helps reduce dependency on public assistance, provide individuals with marketable skills, connect qualified applicants with employers and provide students with developmental and post-secondary educational opportunities. This investment in human capital attracts business, which increases economic development within the state.

- C. *Identify the performance indicators and goals the State has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system. At a minimum, States must identify the performance indicators required under section 136, and, for each, the State performance goal (the "State-adjusted level of performance") for each of the first three program years, expressed in objective, quantifiable terms. States may want to use a chart such as the one in Attachment B. (Further guidance, including definitions of specific indicators, will be provided separately). States are encouraged to address how the performance goals for local workforce investment areas and training providers will help them attain their Statewide performance goals. (§§112(b)(3), 136.)*

We have negotiated with the Department of Labor regarding the DWS performance goals for the coming year. These goals insure fair measurement criteria, continuous improvement and customer satisfaction.

WIA Planned Performance PY 2000 - 2004

Measure	Utah PY00 Planned Level	Utah PY01 Planned Level	Utah PY02 Planned Level	Utah PY03 Planned Level	Utah PY04 Proposed Level
Adult Entered Employment	65.0%	66.3%	66.0%	68.0%	69.0%
Adult Employment Retention	78.0%	79.6%	80.4%	81.1%	82.0%
Adult Earnings Change	\$4,140	\$4,222	\$3,543	\$2,800	\$2,900
Adult Employment & Credential	53.0%	54.0%	51.0%	55.0%	55.0%
DW Entered Employment	75.0%	76.0%	73.8%	76.0%	76.0%
DW Employment Retention	85.0%	86.0%	86.8%	87.7%	88.0%
DW Earnings Replacement	92.0%	93.0%	93.0%	88.0%	88.0%
DW Employment & Credential	60.0%	61.0%	56.0%	60.0%	61.0%
Older Youth Entered Employment	63.0%	64.3%	63.0%	65.0%	65.0%
Older Youth Employment Retention	77.0%	78.5%	80.0%	80.8%	80.8%
Older Youth Earnings Change	\$3,640	\$3,712	\$3,071	\$2,400	\$2,400
Older Youth Credential	50.0%	51.0%	52.0%	45.0%	46.0%
Younger Youth Skill Attainment	72.0%	73.4%	85.0%	89.0%	89.0%
Younger Youth Diploma Attainment	43.0%	44.0%	45.0%	51.0%	51.0%
Younger Youth Retention	50.0%	51.0%	52.0%	55.0%	58.0%
Participant Satisfaction	72.0	73.0	76.0	76.8	71.0%
Employer Satisfaction	68.0	69.0	76.0	76.8	72.0%

III ASSESSMENT:

A. Market Analysis

1. *Describe the key trends that are expected to shape the economic environment of the State during the next five years. Which industries are expected to grow? Which will contract? What are the economic development needs of the State? What data sources support the State's market analysis? (§112(b)(4).)*

The key trend to describe Utah's economic environment of the next five years is a return to its normal performance. Utah has a history of producing employment growth. To illustrate this, 2002 was a year of employment contraction in Utah, falling by 0.7 percent. Going back through recent history, the last time we find an employment contraction in Utah was in 1964, when the economy contracted by only -0.1 percent. That's 38 years of consistent employment growth, even in the face of several United States recessions. Since 1960, Utah's employment growth averages 3.4 percent. That's an encouraging track record, and one that speaks of consistent employment growth.

It is expected that all industrial sectors will grow in the next five years, with the exception of natural resources, and possibly manufacturing. These two sectors have been trending downward the past two decades, and nothing is on the horizon to suggest that this trend will reverse. Employment growth is expected to average 2.5 to 3.0 percent over the next five years. It is anticipated that the last two years of the five-year period will be the years of strongest economic performance. It is not anticipated that the labor market will become “fully employed” over the next five years to the point where the employer community has difficulties finding an adequate labor pool, such as was seen in the late 1990’s.

The state’s economic development needs are to attract more high-paying, knowledge-based jobs to Utah. This is difficult considering that’s what all other states are trying to do. Utah needs to continue to stress its educational needs, and the development of its young workforce. Attracting companies that pay well and reward performance are a continued need to keep Utah’s best minds in the state.

This information is condensed from data provided by the Utah Department of Workforce Services, Workforce Information Division, and the Governor’s Office of Planning and Budget.

2. *Identify the implications of these trends in terms of overall availability of employment opportunities by occupation, and the job skills necessary in key occupations. (§112(b)(4).)*

The above trends have only minor implications on Utah’s overall economy. In other words, it will largely be business as usual for most industries. Thus, there will be adequate opportunities for trained (either formally, on-the-job, or both) workers for the Utah economy.

Of the eight major occupational categories used to present summary information on jobs in Utah, by far the largest both in number of jobs and number of different job titles is the production, operating, and maintenance category. Over one-fourth of the total jobs in Utah are included in this category. After the production-related occupations, the professional job group contains the next largest portion of total employment in the state with 1998 employment of 196,300 and an annual growth rate of 3.2 percent. The clerical and administrative support occupations account for just slightly less employment than the professional occupations with about 187,200 jobs. Clerical occupations will add 16,300 new positions by 2003. Service and sales occupations will each have a job growth rate of 2.9 percent per year. The technical occupation category will increase its ranks with the second fastest rate of job growth, 3.0 percent. Employment in technical occupations is estimated at 55,300 in 1998 and projected to reach 63,700 by 2003. Management and administrative occupations account for a small 7.8 percent portion of total employment in Utah. However, job growth in these occupations will be approximately 2.9 percent, or 13,900 new positions. Employment in agricultural occupations will continue to have the smallest number of jobs. Some job increases will occur in the agricultural category, however: these jobs will be for satisfying the demand for workers in the growing lawn and garden services sector. The growth rate for agricultural occupations will be one-half of the State average of 2.5 percent per year.

Only about 22 percent of Utah’s jobs require a bachelor’s degree or higher. About 10 percent require an associate degree or applied technology training; another 10 percent require work-related experience. The remaining 58 percent of Utah’s jobs require various lengths of on-the-job training.

3. *Who are the customers of the State’s workforce investment system? States may wish to identify major customer segments. (For example, the adult population might be segmented into dislocated workers, public assistance recipients, older workers, veterans, migrant and seasonal farm workers, Native Americans, persons with disabilities, women, and minorities. The employer customer might be segmented into growth employers, large and small businesses, employers that currently use the workforce investment system and employers that do not. The youth population might be segmented into in-school and out-of-school youth) (§§112(b)(4), 112(b)(17).)*

The WIA enables DWS to serve a larger customer base. Customers of Utah’s workforce investment system fall in two broad categories: job seekers and employers.

The following job seeker customer segments that utilize and need the services provided by DWS have been identified:

- Dislocated Workers
- Disadvantaged Workers

Older Workers (Service delivery also covered within Adult employment and training activities as defined in Section 101 of the Act.)
 Veterans
 Migrant and Seasonal Farm Workers
 Native Americans
 Youth
 Persons with Disabilities
 Women (Special programs targeted to women)
 Minorities

These and other population segments can receive the following services at DWS One-Stop Centers:

Register for Work
 Screening and Referral to Employers
 On the Job and Work Site Training
 Classroom Training
 Assessment and Employment Planning
 Labor Market Information or Other Services
 Supportive Services: Family Employment Program, Child Care Assistance, General Assistance, Food Stamp Assistance, Medicare Assistance
 Unemployment Insurance Benefits
 Eligibility Determination for TRA/TAA and WIA Benefits
 In addition to those mentioned above, services specifically available to WIA eligible youth: tutoring/drop-out prevention, alternative school services, leadership development, mentoring, and comprehensive guidance and counseling, and follow-up services

The following employer customer segments have been identified:

Agricultural and non-agricultural
 Growth employers, large and small businesses
 Industry and Product
 Employers that currently use the workforce investment system by:
 Placing Job Orders
 Paying Contribution Taxes
 Needing Unemployment Insurance Information
 Needing Workforce Information
 New and Expanding Employers

4. *Given the projected job skills needed in the State, identify for each of your customer segments their projected skill development needs. (§112(b)(4).)*

Many individuals identified above may be deficient in one or more of the skills that enhance their employability. Skill development needs of individuals in these segments are presently, and will continue to be, widely varied. The training requirements of jobs in Utah are projected to occur in the following categories:

Short-Term OJT	36.8%
Moderate-Term OJT	12.0%
Long-Term OJT	11.2%
Work-Related Experience	9.1%
Associate/Applied Technology	9.1%
Bachelor's Degree and higher	21.8%

B. *State Readiness Analysis*

1. ***Leadership***

a. State Workforce Investment Board.

- i. *Describe the organization and structure of the State Workforce Investment Board. Did you create a new Board or did you “grandfather” an alternative entity as the Board? If you “grand fathered” an existing Board, (1) state whether the Board existed on December 31, 1997, (2) state whether the Board was established under the Job Training Partnership Act (as a State Human Resource Investment Council or State Job Training Coordinating Committee under JTPA section 122 or Title VII) or is “substantially similar” to the WIA membership requirements, and (3) describe how the Board includes, at a minimum, representatives of businesses and labor organizations in the State.*

Utah “grand fathered” its State Council on Workforce Services (SCWS) as the State Workforce Investment Board (SWIB), also the one Local Workforce Investment Board (LWIB) for the state. The State Council was established under state law. All but the eight members who are regional council chairs (and therefore employer representatives in their respective communities) of the State Council were appointed by the Governor in July 1997. The Governor consulted with leaders of business and labor in making the appointments to the State Council except for the public employee representatives, who are nominated by state public employee organizations, and the state legislator, who is nominated by the Speaker of the House and the President of the Senate. The eight employer representatives not appointed by the Governor are appointed by their respective consortia of counties in their areas, i.e. the county commissioners of the communities they represent. The SWIB is “substantially similar” to the WIA membership requirements. The State Council includes 16 representatives of business; four representatives of employees, employee organizations, or labor; a state legislator; the Superintendent of Public Instruction; the Commissioner of Higher Education; two representatives of community-based organizations; a veterans’ representative and the executive directors of the Utah Office of Rehabilitation and the state Departments of Workforce Services, Human Services, Community and Economic Development; and Health. Moreover, no changes have been made to the State Council since its creation before December 31, 1997.

Below is a comparison of statutory memberships of the State Council and the SWIB, demonstrating they are “substantially similar”:

State Council

No equivalent
Chairs/Regional Councils
Supervisor Public Instruction
Commissioner Higher Education
4 Reps. small Employers
4 Reps. large Employers
4 Reps. Employee orgs/public emp. org.
2 Reps. Community Based Orgs ("CBOs")
1 Rep. Veterans
Ex. Dir. State Office of Rehab.
Ex. Dir. DWS
1 Legislator
Ex. Dir. DHS
Ex. Dir. DCED
Ex. Dir. Health
No equivalent
No equivalent
No equivalent
No equivalent

SWIB

Governor
Reps. Private Sector Employers/Business
Lead UT official/Adult Ed./Literacy
Lead UT official Adult Ed./Literacy
Owners of Business, CEOs, COOs
Reps. Businesses w/ employment opps.
Reps. of Labor Orgs
Reps. CBOs
No equivalent
Lead State official Rehab programs
Lead official/Wagner Peyser & Public Asst.
2 Reps. each chamber of Legislature
Expertise relating to one stop programs
State official economic development
Expertise relating to one stop programs
Chief elected officials/Cities/Counties
Reps. with experience in Youth activities
CEO of Community Colleges
State Juvenile Justice officials

The SWIB relies heavily on the Regional Councils on Workforce Services (RCWSs) to carry out its functions. The cooperative nature of this relationship creates, in many aspects, a shared direction-setting

leadership structure. The RCWSs ~~will~~ assist the SWIB by: brokering support and resources for the new workforce development system and negotiating MOUs that enhance the services delivered in the ECs in the regions; examining, and defining where they deem appropriate, specific standards of performance by which to evaluate the progress of the new workforce development system; evaluating the need to replicate the Youth Council model; monitoring the performance of the ECs in the regions and recommending service vendors for approval by the SWIB.

- ii. *Identify the organizations or entities represented on the Board. If you are using an alternative entity which does not contain all the members required under section 111(b)(1), describe how each of the entities required under this section will be involved in planning and implementing the State's workforce investment system as envisioned in WIA. How will this alternative entity achieve the State's WIA goals? (§§111(a-c), 111(e), 112(b)(1).)*

The SWIB has representatives from urban, rural, and suburban areas of the state, including a majority of representatives from large and small businesses, AFL-CIO, Utah Public Employees Association, Utah State Legislature, Public Instruction, Higher Education, Cultural Integration Advisory Council, Office of Child Care, Utah Issues, veterans, Utah Office of Rehabilitation and the State Departments of Workforce Services, Human Services, Community and Economic Development, and Health. Small businesses are represented by: The Walton Group, Acordia Mountain West, Babcock, Scott and Babcock and National Battery Sales, while large businesses are represented by United Parcel Service, Micron Technologies and the University of Phoenix. In Addition, the eight chairs of the Regional Council Workforce Services are all private sector representatives. Specifically, the current membership of the SWIB includes:

- Eight representatives of the communities served by DWS who are employers (and the chairs of the Regional Councils on Workforce Services): Pamela Clark of the Family Support Center of Ogden, Evan Maxfield of Wheatland Seed, Tim Gwyther of Utah Power and Light, Mark Raymond of Deseret Power Plant, Kristie McMullen of SOS Staffing Services, Libbie Zenger who is self-employed, and Ken Walker of Intermountain Health Care.
- Four representatives of small (fewer than 100 employees) employers: Randy Emery of Acordia Mountain West (SWIB Chair), Shawn Potter of Babcock, Scott and Babcock, Linda Walton of the Walton Group and Jan Zogmaister of National Battery Sales.
- Four representatives of large (100 and more employees) employers: Steve Goodrich of United Parcel Service, Stan Lockhart of Micron, Craig Swenson of the University of Phoenix, Marilyn Taylor, Zions Bank.
- Four representatives of employees or employee organizations: Allan Ayoub of the AFL-CIO, Audry Wood of the Utah Public Employees Association, Susan McAllister of the AFL-CIO, and Richard Thorn Associated General Contractors of Utah.
- Two representatives community-based organizations: Bill Crim of Utah Issues and Richard Winters of the Community Services Council.
- A representative of Veterans: Frank Maughan of DRMW Development, Inc.
- The Superintendent of Public Instruction (Patrick Ogden); the Commissioner of Higher Education (Richard Kendell), the Executive Director of DWS (Raylene Ireland), Executive Director of the Utah State Office of Rehabilitation (Blaine Petersen), Department of Human Services Designee (Robert Haywood), Executive Director of the Department of Community and Economic Development (David Harmer), and the Deputy Director of the Department of Health (Dr. Richard Melton).
- A State Legislator: David Hogue.

In order to ensure that each of the required entities will be involved in the planning and implementation of the workforce investment system of WIA, the executive director of DWS shall serve as Governor's representative; the state legislator shall represent both houses of the state legislature; chief elected officials participate in the selection of eight of the business representatives to the SWIB; and a Youth Council has been established as a subgroup, or task force, of the SWIB and includes individuals and representatives of organizations that have experience with youth activities. Moreover, all meetings of the SWIB and its committees, task forces, and/or workgroups are open and public meetings.

The State Council achieve Utah's WIA goals because it serve as the SWIB and thereby retains all authority and responsibilities for workforce investment in the state. Specifically, the responsibilities of the State Council/SWIB include assisting the Governor in: the development of the state plan and development and continuous improvement of statewide one-stop systems; commenting at least once annually on the measures taken pursuant to the Carl D. Perkins Vocational and Applied Technology Education Act; designation of local areas (if applicable); development of allocation formulas for the distribution of funds for adult, dislocated worker, and youth employment and training activities; development and continuous improvement of comprehensive state performance measures, including state adjusted levels of performance, to assess the effectiveness of the workforce investment activities in the state; preparation of the annual report to the Secretary of Labor; development of the statewide employment statistics system described in the Wagner-Peyser Act; and development of an application for an incentive grant under §503 of WIA (if applicable).

- iii. *Describe the process your State used to identify your State Board members. How did you select Board members, including business representatives, who have optimum policy-making authority and who represent diverse regions of the States as required under WIA? Describe how the Board's membership enables you to achieve your vision described above. (§§111(a-c), 112(b)(1).)*

Except for the eight chairs of the regional councils, the Governor, by authority of state law, appoints the members of the State Council, including the chair (a nongovernmental member). The Governor consulted with leaders of business and labor in making the appointments to the State Council except for the public employees' representative, who was nominated by state public employee organizations and the state legislator, who was nominated by the Speaker of the House and the President of the Senate. The eight members who are the chairs of the regional councils and not appointed by the Governor, are appointed by their respective consortia of counties in their areas, i.e., the county commissioners of the communities they represent in consultation with DWS' Regional Directors. All members are chosen for their optimum policy-making authority and because they represent diverse regions of the state. This enables and empowers the State Council to achieve the state vision and goals it defined above.

- iv. *Describe how the State Board will carry out its functions. How will this Board provide direction-setting leadership for the statewide system? (§§111(d), 112(b)(1).)*

The SWIB will meet at least quarterly, each time at a different location around the state. These meetings will primarily be devoted to the review, revision, and approval of work done by committees and task forces of the SWIB. The SWIB will carry out its functions by assigning responsibilities to working committees. The SWIB has organized these working, ad hoc committees around specific functions: operations and performance, employer/business resources, workforce improvement and coordination, regional issues, finance, and youth. All of the functions have been divided among these committees according to responsibility. The Operations and Performance Committee of the SWIB sets and reviews performance standards for DWS, drafted and reviewed this Plan, oversees operations to ensure that services are being delivered in accordance with this Plan, evaluates customer satisfaction, develops plans to improve program outcomes, and makes an annual report to the Governor and Legislature. The Employer/Business Resource Committee drafts and monitors an annual DWS marketing plan to improve the understanding and visibility of state workforce investment services and initiatives. The Workforce Improvement and Coordination Committee studies and monitors the long-term projected needs of employers and job seekers, set goals accordingly to address these needs, and coordinates these services between DWS, public and higher education, Vocation Rehabilitation, Health, Human Services, Chambers of Commerce, and business

organizations and leaders. The committee of regional business leaders (represented by the Regional Council chairs) ensures that workforce investment services and initiatives serve the local communities by reviewing performance and recommending to the SWIB adjustments as needed. The Finance Committee examines the DWS budgets and recommends to the SWIB funding options for delivering integrated one-stop services. Finally, the Youth Council provides oversight for youth activities and services. The committees meet more frequently than the SWIB and solicits the assistance of staff and resources as necessary to accomplish these functions and to report to the full SWIB on a quarterly basis. The SWIB takes action, evaluates performance, makes decisions based upon committee research and recommendations, sets direction for all state programs under this Plan, and assigns its members, DWS partners and staff to accomplish its goals. The SWIB, provides the direction-setting leadership required under WIA, and continues to provide leadership and promote continuous improvement through its constant monitoring and oversight of the effectiveness of this plan and the workforce investment systems it has created. It derives this direction-setting authority by virtue of federal and state law.

- v. *How will the State Board coordinate and interact with the local WIBs? (§112(b)(1).)*

Not applicable. The SWIB has been certified by the Governor as the Local Workforce Investment Board (LWIB) for the state.

- vi. *How will the State Board ensure that the public (including people with disabilities) has access to Board meetings and information regarding State Board activities, including membership and meeting minutes? (§§111(g), 112(b)(1).)*

In accordance with state law and the spirit of the Sunshine Provision, the SWIB ensures that the public has access to board meetings by giving public notice at least once each year of its annual meeting schedule specifying the date, time, and place of such meetings; and giving not less than 24 hours' public notice of the agenda, date, time and place of each of its meetings. Public notice shall be satisfied by, at a minimum: posting written notice at the main DWS administration office as well as the building where the meeting is to be held, and providing notice to at least one newspaper of general circulation. Public notice may also be included on the DWS website. Moreover, the SWIB will keep and update an "interested parties" list and mail all public notices to those individuals. Reasonable arrangements for persons with disabilities will be made, if requested, for all meetings of the SWIB and its committees.

- b. *Identify the circumstances which constitute a conflict of interest for any State or local Workforce Investment Board member, including voting on any matter regarding the provision of service by that member or the entity that s/he represents, and any matter that would provide a financial benefit to that member or his or her immediate family. (§§111(f), 112(b)(13), 117(g).)*

A member of the SWIB or a regional council may not vote on a matter under consideration by the SWIB or council (1) relating to the provision of services to the workforce investment system by the member or a related entity, or (2) which would provide direct financial benefit to the voting member or the member's family. A member of the SWIB or council may not engage in any other activity determined to constitute a conflict of interest as specified in the state plan.

The SWIB or a regional council and its staff may not provide core services and/or intensive services or be designated a one-stop operator unless approved by the Governor, or his designee, nor shall the SWIB or council provide training services unless the Governor, or his designee, grants a waiver in accordance with WIA, section 117(f)(1).

Definitions:

Family: shall include persons as defined in Section 101(15) of WIA and shall refer to persons related by blood, marriage, or decree of court to a voting member of the SWIB or

regional council, including a spouse, child, including a step child, grandchild or the spouse of a child or grandchild of the voting member.

Related entity: shall refer to a for-profit or not for-profit association, organization, business, or government entity which the voting member or the family of a voting member represents or with which the voting member or the family of a voting member has an employment relationship or ownership interest of greater than 10%.

Financial benefit: shall refer to any monetary payment or entitlement which shall result from any relationship with DWS or with an individual participating in a workforce investment activity in the form of an employment, training or youth activity through the state or local workforce investment system.

- c. *Identify the criteria the State has established to be used by the chief elected official(s) in the local areas for the appointment of local Board members based on the requirements of section 117. (§§112(b)(6), 117(b).)*

The SCWS/SWIB has been certified by the Governor as the LWIB for the state. The Governor, by authority of state law, appoints the members of the State Council, including the chair (a nongovernmental member). Eight representatives of business were appointed as regional council chairs by the consortia of counties in the regions they represent, in consultation with the local DWS Regional Directors. All members were chosen for their optimum policy-making authority and because they represent diverse regions of the state.

- d. *Allocation Formulas.*

- i. *If applicable, describe the methods and factors (including weights assigned to each factor) your State will use to distribute funds to local areas for the 30% discretionary formula adult employment and training funds and youth funds pursuant to sections 128(b)(3)(B) and 133(b)(3)(B). Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout your State and that there will be no significant shifts in funding levels to a local area on a year-to-year basis. (§§112(b)(12)(A-B), 128(b)(3)(B), 133(b)(3)(B).)*

Since Utah will have single local workforce area, a local distribution formula is not required. The current plan is that Utah will not treat the 30% discretionary funds differently from the 70% funds. Adult and Youth funds will be used primarily for intensive and training services. The Adult and Youth intensive and training services funds will be allocated to each region using the formula outlined by the Act with one exception. The hold harmless adjustments will be phased out over four years and the formula will not be adjusted to account for hold harmless after that timeframe. The 15% Statewide Activity funds will be used for core services. Youth funds will be used to provide activities as outlined in section 129 of the Act. Staffing costs will be distributed based on the cost allocation plan approved by the federal Department of Health and Human Services. All costs will be allocated in accordance with the state allocation plan.

- ii. *Describe the State's allocation formula for dislocated worker funds pursuant to section 133(b)(2)(B). (§§112(b)(12)(C), 133(b)(2)(B).)*

Since Utah will have single local workforce area, a local distribution formula is not required. Dislocated Worker funding for DWS' five regions will also be used primarily for intensive and training service. Initial Unemployment Insurance claims for each Calendar Year will be used to allocate intensive and training services funds to each region. The 15% Statewide Activity funds will be used for core services. Staffing costs will be distributed based on the cost allocation plan approved by the federal Department of Health and Human Services. All costs will be allocated in accordance with the state allocation plan.

- iii. *For each funding stream, include a chart that identifies the formula allocation to each local area for the first fiscal year, describe how the individuals and entities represented on the State Board were involved in*

the development of factors, and describe how consultation with local boards and local elected officials occurred. (§112(b)(12)(A).)

State and regional councils continue to be involved in funding discussions through regular meetings and through a proposed finance and administration subcommittee of the SWIB.

- e. *Describe the competitive and non-competitive processes that will be used at the State level to award grants and contracts for activities under Title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (§112(b)(16).)*

At this time, DWS provides all services to adult and dislocated worker customers. This section may be modified if the SWIB determines that services may be provided more efficiently by another entity. The state procurement policy is described in the "Request for Proposal" manual.

WIA regulations (20 CFR 664.405) explain that the youth program design framework may be delivered by the grant recipient, (DWS in Utah), or included in the request for proposal as part of the competitive selection process. WIA regulations further state that the grant recipient may elect to provide the summer youth employment opportunities program element, (20 CFR 664.610).

Regional Youth Councils conducts resource mapping activities to identify to what extent the ten program elements are available in communities in their regions. Regional Youth Councils provided input into the decision regarding framework services and the summer youth employment opportunities element. The decision has been made in Utah that the summer youth opportunity service will be delivered by the selected provider. The best service delivery method(s) is agreed upon and recommended to the Regional Council.

The State of Utah Procurement Office announces a Request for Proposals for WIA Youth Services in each DWS Region based on strategies recommended at the Regional Youth Council. Utah Procurement Code guides the process of identifying qualified respondents and selecting providers. The selection committee includes Regional Youth Council representation. The RFP process complies with WIA Sec. 123, 20 CFR Part 652 et al. WIA, Final Rules; and Utah procurement policy. The following is a summary of the RFP process:

- RFP development
- RFP release
- Bidders Conference (optional)
- Proposals due
- Selection of vendor(s)
- Regional Youth Council and Regional Council must approve recommendation(s)
- Selection forwarded to State Youth Council for approval and forwarding to State Council
- State Council makes final approval of provider
- Contract negotiations, which includes DWS Finance staff
- Submit contract for formal approval to DWS⇒State Contracting
- Formal execution of contract
- Start date of service delivery

In an effort to foster competition and identify potential service providers, RFPs will be announced in the following ways:

- Public notice in local newspapers and standard Wasatch Front daily newspapers
- Utah Procurement Office maintains a list of parties interested in replying to RFPs. Notice will be given to organizations on the list.
- DWS web page.
- State Purchasing web page.
- Other means, as appropriate.

- f. *Identify the criteria to be used by local Boards in awarding grants for youth activities, including criteria used by the Governor and local Boards to identify effective and ineffective youth activities and providers. (§112(b)(18)(B).)*

It is the responsibility of the Regional Youth Council to select an Evaluation Review Panel consisting of five to seven individuals. The review panel should be comprised of a combination of Regional Youth Council members, DWS staff, and other appropriate stake holders. The evaluation of proposals will be done at a date and time following the final submission of proposals. Award(s) will be based on the following weighting factors:

Weight Criteria

___%	Documentation and Completeness of Response – Responses should reflect an understanding of service required, time requirements, and the scope of work to be implemented.
___%	Soundness of Approach - Response should include documentation of ability to perform work, (interested parties must provide references, and/or responses to youth-at-risk scenarios). Preference will be given to proposals which: Offer youth a comprehensive menu of program activities; Focus on the education needs of youth; Provide youth exposure to the world of work through appropriate work experience; Provide youth support in meeting their career goals; Offer preparation for postsecondary education and employment; Offer linkages between academic and occupational learning; Encourage leadership and citizenship development; Focus on developmental needs of youth; Have strong connections to community resources and the business community; Provide follow-up support; and Collect data to assess and evaluate effectiveness
___%	Flexibility of reporting, invoicing, and enrollment; including description of services, staff available to perform services and means used to meet deadlines stated in proposal, time to be devoted to contract, etc.
30%	Cost
100%	Total

Weighting factor percentages, except the cost factor, may be determined by the Regional Youth Councils.

Award of the contract will be made in accordance with the State of Utah Request for Proposal Instructions and General Provisions. Selection may result in a multiple award.

- g. *If you did not delegate this responsibility to local Boards, provide your State’s definition regarding the sixth youth eligibility criterion at section 101(13)(C)(vi) (“an individual who requires additional assistance to complete an educational program, or to secure and hold employment”). (§§101(13), 112(b)(18)(A).)*

In Coordination with the State Office of Education, DWS defines the sixth youth eligibility criterion as “youth at risk”. Youth at risk are identified through one or more of the following characteristics:

- Youth in Foster Care
- Chronic absenteeism and truancy from school
- Chronic behavior problems
- Chronic underachievement in school
- Family illiteracy
- Physical/sexual/psychological abuse
- Cultural difference
- Ethnic or racial difference
- Social/developmental immaturity
- Substance abuse
- Limited English proficiency
- Lacks occupational goal/skills
- Migrancy
- Chronic health problems

h. *State Policies and Requirements. (§112(b)(2).)*

i. *Describe any State policies and requirements that have been established to direct and support the development of a statewide workforce investment system not described elsewhere in this Plan. These policies may include, but are not limited to:*

- *State guidelines for the selection of One-Stop providers by local Boards;*

Not applicable

- *The State's process to work with local boards and local Chief Elected Officials to certify existing One-Stop operators;*

Not applicable

- *Procedures to resolve impasse situations at the local level in developing MOUs to ensure full participation of all required partners in the One-Stop delivery system.*

An MOU has been developed between the State Workforce Investment Board and all One-Stop partners. If a dispute arises from or relates to the terms and provisions of these MOUs, and if the dispute cannot be settled through good-faith negotiation, the Board or any One-Stop partner may request mediation of an MOU issue in writing. Written request for mediation will be made to the DWS Director of the Division of Adjudication. The Director, who is by statute admitted to the practice of law in Utah, will endeavor to settle the dispute by mediation. If the dispute cannot be resolved through mediation, the Chair of the SWIB will be immediately notified in writing by the Director/mediator. Within 15 days the Chair will appoint an impartial panel of three SWIB members, including two private sector members, to act as arbitrators. The arbitration panel will hold an arbitration hearing within 30 days of its appointment and shall issue a written decision within 30 days of the closing of the hearing. The decision of the arbitration panel will be binding upon the parties. The panel will have no authority to award monetary damages. If a One-Stop partner fails or refuses to abide by the decision of the arbitration panel and execute an MOU, the SWIB will notify the State agency responsible for administering the partner's program, the Secretary of Labor and the head of any other Federal agency with responsibility for oversight of that partner's program of the partner's unwillingness to participate in the one stop partnership. Continued refusal by a partner to execute an MOU will cause that partner's membership on the SWIB to be terminated.

- *Criteria by which the State will determine if local WIBs can run programs in-house;*

Not applicable

- *Performance information that on-the-job training and customized training providers must provide;*

Customers who successfully complete the OJT program should be retained by the employer at the same or higher wage level.

DWS can pay up to half the cost of a training program customized for an employer. The employer must retain the trainees who successfully complete the training. Employed customers who successfully complete a customized training program must be retained by the employer at a higher wage level. The employer is to be contacted six months after the training terminates and asked if the customer or customers are still working there and if not, why not. Employers must assure that they provide long-term employment for trainees who successfully complete training, with wages and employment benefits (including health benefits) and working conditions at the same level, and to the same extent as other employees working a similar length of time and doing the same type of work.

- *Reallocation policies;*

As Utah is a single local area state, a reallocation policy is not necessary. Obligation and expenditure requirements must be met at the state level. DWS requires that Utah's internal regions meet those requirements separately. If one region is not meeting expenditure or obligation requirements, DWS is able

to transfer funds to another region that is meeting or exceeding the requirements to assure that the state remains in compliance. At the end of the second year, any remaining local funds will be expended as core services at the state level during the third year of expenditure.

- *State policies for approving transfer authority (not to exceed 20%) between the Adult and Dislocated Worker funding streams at the local level; and*

As DWS is a single local area state, the 20% transfers will take place at either the state level or local level. The SWIB will approve any transfer of funds between funding streams.

- *Policies related to priority of service for recipients of public assistance and other low-income individuals under WIA, and veterans or other groups under the Wagner-Peyser Act.*

Employment Centers provide veterans' preference in the delivery of services to comply with the provisions of 20 CFR 653, Subpart C. During an automated job match, applications of qualified veterans are extracted before non-veterans in the following priority: Special Disabled, Vietnam Era Veterans, Disabled other than Special Disabled, and all Other Qualified Veterans.

Local Veteran Employment Representatives and the Disabled Veteran Outreach Program staff provide individualized counseling, job development, workshops and other employment-related services designed specifically for the needs of veterans.

Within the required priority given to public assistance recipients and low-income individuals, low-income individuals are DWS' number one priority for WIA-funded intensive and training services, as public assistance recipients are able to access state TANF dollars for training. Low-income individuals will be further prioritized for service using state criteria. The same employment counselors serve customers under all DWS funding streams so services can be coordinated easily and customized for each individual. Providing appropriate services to assist job seekers in gaining employment is our most important role. In order to provide core services to as many customers as possible, local areas have been notified that we anticipate limited funding for intensive and training services during PY 2004. Low income individuals will be prioritized right away. As budget projections for each program year and each quarter become available, local areas will be notified of available funds for all WIA activities.

- *Policies related to displaced homemakers, nontraditional training for low-income individuals, older workers, low-income individuals, disabled individuals and others with multiple barriers to employment and training.*

Policies related to the above individuals are described in the following section. DWS is responsible for administering a number of diverse services that have varying state and federal regulations. To provide consistency and foster integration of services, policies for all the various funding streams DWS administers have been written and organized into a uniform format. This requirement supports the development of a statewide workforce investment system as it offers DWS service providers consistent information and technical assistance to ensure seamless service delivery.

DWS policy manual covers the following main services: Training Services, Employer Services, Employment Placement Services, Food Assistance, Financial Assistance and Child Care. All state policies are organized into eight sections which include: Roles, Rights and Responsibilities, Service Delivery, Rules and Standards, Income Guidelines, Asset Guidelines, Supportive Services, Eligibility Processes and Records and Service Management. In addition, standardized forms and applications have been developed and are currently used by all ECs across the state. These ensure all customers are registered for employment and are assessed for various supportive service needs.

DWS continues to develop integrated policies from all appropriate funding streams so that an employment counselor has one policy manual to consult when looking for On-the-Job Training policy, for example. It is not necessary to look in the TANF/FEP or WIA manual for funding-specific rules if the same policy applies across the board. This makes the employment counselor's job easier and reduces the number of resources that are necessary to provide information to DWS service providers. Assessment, Employment Planning, Responsibilities, Records and Service Management, Support Services, and Worksite-based Training and Classroom Training are some of the areas where policy is fully integrated.

- *Policies limiting ITAs (e.g., dollar amount or duration)*

The amount obligated for an individual customer is based on their assessment and employment plan and is individually determined as long as it falls within the state limit. The assessment includes a financial determination of the customer's current resources and expenses, including financial aid from schools and family support. Employment plans differ for each individual, depending on their unique needs and goals. There is no 'one size fits all' when determining training and related costs for each customer. The costs of all appropriate services provided by DWS will be considered when the employment plan and financial obligation are being determined. The statewide limit on Classroom Training will be two years and \$5000. Supervisors have the authority to extend this limit, as appropriate. Employment Counselors ~~will~~ meet with customers regularly to review school progress.

The Department does not discriminate against any participant in any aspect of the administration of ITAs. Training on ITA policies and procedures includes the mandate that no individual will be excluded from participation in the ITA program for reasons of age, race, color, sex, disability, religion, national origin or political affiliation or belief. All policies and procedures comply with Federal and State laws prohibiting discrimination of any kind. Individuals who believe they have been subject to discrimination may file a complaint in person, by phone, or in writing to the local EC or to the Office of Constituent Services. Complaints are investigated and resolved as quickly as possible and responses made by the Department in person, by phone or in writing

- ii. *Describe how consultation with local boards and local Chief Elected Officials occurred.*

Chief Elected Officials are represented on all the RCWSs. In fact, three county commissioners sit on each of the eight RCWSs and another currently sits on the SWIB. Policy discussions and design occur at the RCWS level and the Chief Elected Officials participate in these consultation events and assist in providing direction-setting leadership. Moreover, Chief Elected Officials were consulted in the preparation of this state plan. As it was prepared with the SWIB, this state plan was rolled out to the Chief Elected Officials for discussion, input, and comment. Drafts of this state plan were considered in meetings of all the RCWSs without exception, at which Chief Elected Officials in all regions of the state were consulted. DWS will continue to consult regularly with Chief Elected Officials, also. The Service Delivery Support Division writes comprehensive policy for services provided by each of DWS' funding streams, and has written a single integrated policy for applicable funding streams. These policies are sent out for a public comment period. Comments are welcomed from local boards and Chief Elected Officials. The state legislative process also drives certain policies; local officials have access to that process.

- iii. *Are there any State policies or requirements that would act as an obstacle to developing a successful statewide workforce investment system?*

There are no state policies or requirements that act as obstacles in administering Utah's a successful statewide workforce investment system. Rather, state law and policies helped move us toward a successful integrated system. Some entities such as the Office of Rehabilitation maintain an administration separate from DWS but coordination takes place at the state and regional levels, and employment counselor's work together to provide services to common customers.

2. ***Services:*** *Describe the current status of One-Stop implementation in the State, including:*

- a. *Actions your State has taken to develop a One-Stop integrated service delivery system statewide;*

As of May 1, 2004, DWS has 37 full service One-Stops, all of which have been modified to provide integrated services. All ECs operate under the One-Stop concept. Utah's progress in becoming a fully integrated One-Stop state flows from several major initiatives. First, the state legislature created and has recommended the continuation of a legal basis and a political mandate for One-Stop services. Second, the legal basis was supported by aggressive management initiatives to organize all processes with the One-Stop concept as the organizing principle. Third, DWS continues to partner with private and public organizations to ensure that additional services are included. The One-Stop system in Utah includes WIA Youth contracted service providers in the 5 DWS regions.

House Bill 375, passed by the Utah State Legislature during the 1996 session, laid the foundation for consolidating a variety of workforce-related agencies into one Department of Workforce Services.

Though the legal and political basis was created for DWS, there were many practical organization hurdles, and several major initiatives were begun to make One-Stop centers a reality:

Service Delivery Design

Prior to the integration of DWS, a cross functional group began designing service delivery. A design document titled "Employment Center Service Delivery" was developed prior to July 1997. As stated in this document, "The ultimate quality of our service delivery is (and always will be) in the hands of our direct service providers and their supervisor and managers in our centers and divisions." This document has had minor modification over the years but is still viewed as the roadmap for delivery all services to our customers.

Integration of Organizational Culture

Over the past 7 years DWS has accomplished an organizational culture that supports the integrated services for the customers we serve. Customers entering an EC are unaware that many funding streams make up the services offered. The individual needs of the customer are assessed and services provided, supporting the ultimate goal of family sustaining income.

Integration of Physical Facilities

There were over 100 offices inherited by DWS as part of the consolidation, and many of these were next door to one another. This painstaking process of consolidation into 37 buildings took place. Meanwhile, customers still were served on a daily basis. Down time was not an option during the transition period. Each facility has the same look and feel, a customer can walk into anyone of the facilities state wide and receive the same services.

Integration of Key Customer Service Processes

The EC Design team focused on concepts for designing the One-Stop employment center. Still, many procedures for delivering each of the services had to be established. As these processes were defined, statewide focus groups were organized and feedback was received from the direct service providers on what was and was not working well. The biggest challenge was organizing each service delivery team, and this process is still ongoing. It began with co-locating multi-functional teams. As their expertise has increased as a result of training and experience, the dynamics of the teams has changed from an accumulation of experts to each member being able to deliver the major services to a customer. This is reducing hand-offs and making the One-Stop also a one-contact process.

Integration of Key Support Processes

Integration of support processes has been vital to the development of One-Stop ECs. Areas such as finance, administration, personnel, workforce information technology, and public affairs have been integrated to provide support services to the ECs. Particularly challenging has been the integration of funding streams and other financial services. The variety of services being delivered and the many associated funding streams demand a very complex costing system. The Random Moment Time Sampling (RMTS) is being used and still being fine-tuned.

Integration of Information Technology Systems

DWS began immediately to tie together the variety of information systems so that ECs could function in an integrated manner. Services migrating from Department of Human Services brought with them two systems used for case management and financial management, Job Service had an employment exchange system, and there were other systems to be integrated. DWS employees also had to continue use of systems managed by outside agencies, such as the Office of Recovery Services Information System (ORSIS). This process continues: UWORKS, a case management system that has the features necessary for service providers to manage their customer information in a truly integrated manner, the latest project is UtahCares, an online information and referral system which allows customers to search online for Health and Human Service providers, matching their particular need with service providers in their location..

Utah DWS is currently proceeding on the case management image project. The project will "image" all hard files for intensive/training services case management files into electronic files. DWS has completed

the conversion of the eligibility files into electronic files. DWS will image all intensive services case files (i.e., TANF, WIA, NAFTA/TAA, Trade Act 2002, Veterans, Food Stamps Employment and Training, State funded programs) this system is due to come online in the fall of 2004.

Integration of Review Methodologies

Early in the One-Stop integration process, senior managers recognized the need for an integrated services review methodology, and the integrated on-site review was developed and implemented within the first year of DWS's operation.

All WIA Youth contract sites are monitored on an annual basis using a standard set of monitoring tools. Attention is focused on program and fiscal compliance. Customers, employment counselors, case managers, and worksite learning supervisors are also interviewed.

Partnering/Partnerships

Consolidating of services meant that DWS has had to review the array of partnerships. Remaining as part of Human Services is the Office of Recovery Services, which performs the collection of child support payments. This has required reworking of processes and agreements. Likewise, the Department of Health is tied in very closely through Medicaid Services. DWS has established relationships at a variety of levels with the Health Department. Other partnering relations, such as with Utah State Office of Education to provide better School-to-Careers and vocational rehabilitation services, have been reviewed and strengthened.

Federal One-Stop Grant money was critical in bringing up the many ECs as rapidly as possible. Over three grant years (1997, 1998, and 1999), Utah received \$5.4 million from this grant. This money was used to upgrade computers in the Job Connection areas of every EC. Funds were used to purchase training management software that allowed automated scheduling and tracking of the enormous amount of service provider training required integrating all of our services. File servers were upgraded so that most training is available on a web-based system where service providers have access to training from their personal computers on a just-in-time basis.

Consolidating offices from the various agencies, as well as changing service delivery processes, meant we needed to do a lot of remodeling of the offices so that we could deliver integrated, customer-focused services with zero wait time. One-Stop funds were used in many ECs to accomplish this. This included funding in every EC to get common signage. A new case management system is the number one priority for our EC managers and direct service. The Federal One-Stop Grant fund allowed us to get a quick start on development of UWORKS.

- b. *The degree of existing collaboration for WIA Title I, the Wagner-Peyser Act, and all other required and optional partners (§§112(b)(8)(A), 121(b)(1-2), 134(c);*

Services provided by DWS are already co-located in each of our ECs. These include the required partners: the Employment Service, Trade Act, NAFTA, WIA and Unemployment Insurance as well as the competitive Welfare-to-Work grant, Veterans Employment and Training programs. Services provided by these optional partners are available at the ECs also: TANF, Child Care and Food Stamps and Food Stamps Employment and Training. Employment counselors coordinate with Native American program counselors in areas where those programs are funded and customers are co-sponsored. Veterans' programs are currently part of DWS, including those for disabled veterans. . Recently, the Office of Rehabilitation and DWS co-authored and received a federal "Choose to Work Grant." Both Departments will supply staff to implement this grant. DWS will provide counseling and other services to those customers served by recipients of competitive welfare-to-work grants. In most ECs, employment counselors work closely with the local Title V representative to help Older Workers get the services they need; some Title V staff are actually stationed in ECs. One DWS staff sits on Utah's Senior Worker Coordinating Council to help coordinate services at the state level. TAA and NAFTA TAA services are currently provided through DWS. DWS continues to improve coordination with postsecondary Vocational Education, the Department of Community and Economic Development which oversees Community Services Block Grants and the Department of Housing and Urban Development employment and training activities under Community Development Block Grants, Job Corps, the Department of Corrections and any local National and Community Service Act services available in Utah. Current coordination is outlined in the attached MOUs: Cross referral of appropriate customers takes place. Negotiations are also underway with juvenile justice providers. The Department of Workforce Services has received the U.S. Department of Labor Employment

and Training Administration Utah One-Stop Enhancement Project (UOSEP) Grant to enhance service delivery to people with disabilities in the One-Stop delivery system. The UOSEP Grant period is from July 1, 2003 to June 30, 2005. Additionally, DWS staff will continue to identify grants opportunities that will facilitate a partnership between DWS and other required and optional partners.

The Utah Transit Authority in cooperation with DWS, the Wasatch Front Regional Council, Mountainland Association of Governments, Salt Lake City Chamber of Commerce, and other community organizations, recently submitted an application for a Job Access and Reverse Commute Grant. DWS will provide matching funds from our TANF block grant to support that grant.

3. ***System Infrastructure***

a. *Local Workforce Investment Areas.*

- i. *Identify the State's designated local workforce investment areas, including those that were automatically designated and those receiving temporary designation. Include a description of the process used to designate such areas. How do these areas compare in size and number with the Service Delivery Areas under JTPA? (§§112(b)(5), 116(a)(1).)*

The Governor has designated the State of Utah as a single Local Workforce Investment Area state for the purposes of WIA since Utah was a single Service Delivery Area state under the JTPA as of July 1, 1998.

The designation as a single local workforce investment area is possible, also, because it relies upon a successful sub-state structure. Under authority of state law, Utah has established five regional workforce services areas: North, Central, Mountainland, East, and West. Each of these areas has at least one Regional Council on Workforce Services which plans and monitors workforce development initiatives for the area and which oversees the one-stop operation of the ECs. In fact, the geographic and political diversity of three of these regions, the North, East, and West, has necessitated the creation of two Regional Councils in each area. In the North region are found the Bear River Regional Council and the Tri-County Regional Council. In the East are the Uintah Basin Regional Council and the Southeast Regional Council. The West region has two councils also, the Six County Regional Council and the Five County Regional Council. This system allows Utah the flexibility to create successful local workforce investment systems.

- ii. *Include a description of the process used to designate such areas. Describe how the State considered the extent to which such local areas are consistent with labor market areas; geographic areas served by local and intermediate educational agencies, post-secondary educational institutions and area vocational schools; and all other criteria identified in section 116(a)(1) in establishing area boundaries, to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation requests pursuant to section 116(a)(4). (§112(b)(5).)*

On January 14, 1999, the State Council made the recommendation to the Governor to designate Utah as a single local workforce investment area state for the purposes of WIA. This decision was reached after consultation with chief elected officials and after consideration of the comments received through the public comment process. Moreover, the Governor made this designation after taking into consideration geographic areas served by local and intermediate educational agencies, postsecondary educational institutions and area vocational education schools, and other applicable criteria in Section 116(a)(1). No sub-state area sought local area designation. State law does require local oversight by local councils.

- iii. *Describe the appeals process used by the State to hear appeals of local area designations. If any appeals were made, identify them and indicate the status of the appeal. (§§112(b)(15), 116(a)(5).) (§§112(b)(5), 116(a)(1).)*

It is understood that a local area with a certain population could be designated a local area if the area requested it. As of the date this plan is resubmitted, no appeals of Utah's single local area designation were made. Considerable negotiations took place previously when Utah became a single Service Delivery Area under JTPA. Had any appeals been filed with the Governor concerning local area status under WIA, the State Council was prepared to hear any appeal at the scheduled March 1999 meeting. If an appeal was made by a local area meeting population requirements, the Council would listen to arguments from a DWS representative and a representative from the area making the appeal, and then take a vote on the outcome. If the local area wished to appeal further, the Governor would make the final determination. If that appeal

did not result in such a designation, the decision could be appealed to the Secretary of Labor. All background information and a report of the completed in-state process would be included.

b. Regional Planning (“112(b)(2), 116(c).)

i. Describe any intrastate or interstate regions and their corresponding performance measures.

Utah is a single local area state for purposes of WIA. For intra-state administration purposes, there are five regions in the state: North, Central, Mountainland, Eastern, and Western. Each region will be expected to meet the state performance standards individually.

ii. Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing, and/or coordination activities) that will occur to help improve performance. (For example, regional planning efforts could result in the sharing of labor market information or in the coordination of transportation and support services across the boundaries of local areas.)

Information is constantly shared across regions and ECs through many modes. Regional Director and Regional Program Manager meetings are held monthly. DWS administrative staff also attend these meetings when developing statewide strategies and policies and to share information regarding statewide and inter-regional service delivery. Another mode of communication is the data provided by the Workforce Information Unit regarding performance outcomes. These outcomes are accessible via the DWS Intranet to all DWS service providers. Statewide workgroups meet regularly to develop training and service strategies. Regional representatives on each workgroup are given the responsibility to disseminate pertinent information to all other service providers in their regions

State law requires the SWIB and the Regional Councils to each write annual workforce services plans. The SWIB drafts a template of the plan prior to July 1 which addresses the general workforce development initiatives for the state system for that program year beginning July 1. The SWIB then rolls that template out to each of the Regional Councils for the detail of the regional workforce development initiatives and services, which includes: a projected analysis of the regional workforce needs of employers and clients, assurances that state policy standards will be incorporated into the regional workforce services design, a regional budget outlining administration and customer support and services expenditures, the location of ECs and staff levels to deliver services, the services to be provided including assessment and support services, job training options, job placement, and employer outreach, identification of targeted occupations for which training will be approved, regional outcome-based performance standards that ensure equitable services to all clients, regional oversight processes that include a process to evaluate program effectiveness and develop plans to improve programs, internal and external marketing strategies to improve the understanding and visibility of regional workforce service efforts, coordination of apprenticeship training and strategies to provide assistance to employees facing dislocation from their employers. Once the Regional Councils add this detail, the template rolls back up to the SWIB as the state Workforce Services plan required by state law.

iii. For interstate regions (if applicable), describe the roles of the respective governors, SWIBs, and LWIBs.

Utah currently does not participate in an interstate region.

c. Selection of Service Providers for Individual Training Accounts. (§§112(b)(17)(A)(iii), 122, 134(d)(2)(F).)

i. Identify policies and procedures your State established for determining the initial eligibility of local level training providers, how performance information will be used to determine continuing eligibility (including a grievance procedure for providers denied eligibility), and the agency responsible for carrying out these activities.

Initial eligibility applications were sent to all Utah institutions that had provided training services to JTPA customers in the past two years. A public notice was published in various newspapers around the state in an attempt to reach those schools that were not approved for JTPA funding. Those schools that responded

did receive an application. These applications were reviewed and approved by regional councils and forwarded to the DWS state administration office for approval by DWS staff and presentation to the State Council. A list of approved schools and programs is available on the DWS Internet site at jobs.utah.gov. The State Council determined that JTPA performance for PY 1997 would be used as the baseline for initial eligibility determinations. No WIA-funded classroom training enrollments took place until after the list of approved providers was in place.

DWS is responsible for subsequent eligibility of training providers for WIA customers. Utah is currently working under an approved waiver to postpone the implementation of the subsequent eligibility process for Eligible Training Providers as described in the Workforce Investment Act, Section 122 (c)(5). If the Council determines that the standards should be raised or lowered for determining subsequent eligibility, schools will be notified. The DWS Workforce Information service providers working with the Department of Commerce, Consumer Protection will be a key part of this process as they have much of the required information available.

Approval for subsequent eligibility will be necessary from DWS and other entities involved. If a provider is denied eligibility, an appeal can be filed with the entity issuing the denial. The DWS regional council or state administration that receives the appeal will have a limited period of time to hear the appeal and discuss it with the provider. The eligibility process shall be clearly defined so that any appeal of an eligibility decision can be easily determined.

- ii. *Describe how the State solicited recommendations from local boards and training service providers and interested members of the public, including representatives of business and labor organizations in the development of these policies and procedures.*

A committee was given the task to design the applications. Participants included Applied Technology Education, a State Council representative, and representatives from each of DWS' five regions as well as DWS' Legal, Public Affairs and Workforce Information divisions. After reaching agreement on what information the initial applications should ask for and approving a draft, the draft applications were presented to the State Council for comments in January 1999. The Council approved the initial applications contingent upon them being a part of the state plan that went out for public comment February 14 to March 16, 1999.

- iii. *How will the State maintain the provider list?*

Completed applications will be sent to regional staff who will present them to the regional councils for approval. Applications along with regional approval status will be forwarded to state staff for approval, and presentation to the SCWS for their approval. The SCWS will make the final determination on a training institution's approval in Utah. State staff will compile the list of approved providers and assure the list is available on the Internet at jobs.utah.gov.

- iv. *What performance information will be available at every One-Stop center?*

All information required in Section 122 is available at every DWS EC. The following information is available approved training providers:

1. Program completion rates for all individuals enrolled.
2. Percentage of all individuals enrolled who obtain unsubsidized employment.
3. Wages at placement for all individuals enrolled.
4. If applicable, the rate of Utah state-recognized or industry-recognized licensure, certification, degrees, or equivalent attained by all program graduates. (For example, CDL, Certified Nurse Aid, Licensed Practical Nurse, Novell Network Engineer)
5. Program costs including tuition and all fees.

- v. *Describe the State's current capacity to provide customers access to the statewide list of eligible training providers and their performance information.*

DWS has limited performance information concerning training providers. Each region follows the same approval process to ensure consistency throughout the state on approving which schools customers may attend. A list of eligible training providers is compiled and available at www.jobs.utah.gov. Customers are able to select any approved provider of training. Employment counselors assist them in making sure all financial needs are addressed.

I. *Describe the process for removing providers from the list.*

If state staff and the SWIB determine that a provider has intentionally provided inaccurate information on an application, that provider may lose eligibility. Upon such determination, the provider will be removed from the list.

If state staff and the SWIB determine that a provider has substantially violated any requirement under the Workforce Investment Act, that provider may lose eligibility. Upon such determination, the provider will be removed from the list.

A school that is denied eligibility will be able to present a personal appeal to the SWIB at the next scheduled meeting after the intent to appeal is received. The SWIB will hear the argument and make a decision regarding the school's status. Their decision will be final. All requirements, sanctions, and the appeals process will be transmitted to training institutions in writing so they will be aware of their responsibilities and rights.

- d. *What is your State's current capacity to deliver high quality employment statistics information to customers--both job seekers and employers--of the One-Stop system? Your response should address the products that have been developed as part of America's Labor Market Information System, the Bureau of Labor Statistics Federal-State cooperative statistical programs, and other State-generated employment statistics. (§§111(d)(8), 112(b)(1), 134(d)(2)(E).)*

DWS delivers high quality employment statistics information to customers of the One-Stop system through the Labor Market Information page on the Internet and expert staff. Data collected for the Bureau of Labor Statistics State-Federal cooperative statistical programs are analyzed and published in user-friendly formats. DWS works closely with customers to improve and enhance the delivery and content of its products and services to make them meaningful and practical for users. DWS publishes a directory that describes the various workforce information publications available, including a listing of economists to call for specific information.

As a part of America's Labor Market Information System, Utah is working to build and populate the ALMIS database with state data.

Utah is continually improving a user-friendly Workforce Information on the Internet at jobs.utah.gov. Making labor market and occupational information available on-line greatly expands all customers' access to this information. The Internet site contains data, lists of publications and services, pages for Utah's regions, and hotlinks to other states' LMI Web sites. In addition, Utah is exploring Internet applications that will access the ALMIS database from its Web site. Providing customers with an Internet-based, easy-to-use interface with the ALMIS Database will give easy access to information. In the External Users Group, DWS will work with the State Office of Rehabilitation to explore ways that labor market information products and services can be made more accessible to customers with special needs.

DWS prepares and disseminates labor supply and demand data using local data. Accordingly, labor supply and demand tables are constructed for publication in *Utah's Job Outlook* and *Utah's Job Outlook in Brief* (a brochure which presents the fastest-growing occupations by training level and wage in a user-friendly layout). Long-term local-area industry/occupational projections for the ALMIS State Projections Internet site are made. DWS also prepares a large portion of the Utah SOICC Career Guide which includes job outlook, job descriptions, starting wages, and other information for over 200 job titles.

DWS provides information about occupations that require licenses for the Licensed Occupations Information System to support America's Career Kit and America's Learning Exchange. This information is also available in the publication *Licensed Occupations in Utah* and at the Web site.

DWS publishes a monthly newsletter, *Utah Labor Market Report*, which provides current statistical and narrative analyses of happenings in the Utah labor market. Special labor force studies of interest to employers and job seekers based on economic research are also presented.

Each of DWS' five regions is represented by a Regional Economist who produces information and responds to the needs of that particular region. The Regional Economists publish quarterly information including economic and demographic profiles for their counties, an analysis of labor market and other economic trends, information on the labor force, employment by industry, unemployment, information on gross taxable sales, building construction, and other economic data.

DWS has established users groups to gather feedback on its products and services and to raise the awareness and understanding of workforce information. Utah has also established a Publications Workgroup with the objective of producing more user-friendly publications and helping users understand and apply workforce information more effectively.

DWS provides Workforce Information Training to all ECs in the state. Workforce Information staff provide technical assistance and training seminars for local government planners and other customers.

DWS works with local planning staff, the Governor's Office of Planning and Budget, and others to ensure that information provided responds to user needs and to avoid needless duplication of products.

Utah provides Alien Labor Certification survey wage information to help establish prevailing wages, and that information is published on the Internet site and in the publication *Utah Occupational Wages*.

- e. *Describe how the work test and feedback requirements (under §7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met. How is information provided to the UI agency regarding claimant registration, claimant job referrals, and the results of referrals? (§112(b)(7).)*

The UI system is a part of DWS. Reporting work test results is automated and notices to UI staff are printed for the following transactions:

- Refused a referral
- Failed to make proper application with an employer
- Failed to answer call-in for job referral
- Hired but did not report for work
- Did not report for an employer interview
- Failed to report to a training program
- Was placed on a job or enrolled in a special program

Circumstances that surface during the work registration or subsequent service delivery process which may affect a claimant's work search requirement or compliance with legislation are reported to UI staff on the Claims Notice Form.

- f. *Describe how the Wagner-Peyser Act staff participate (if applicable) in the conduct of the Eligibility Review Program reviews. Describe the follow-up that occurs to ensure that UI eligibility issues are resolved in accordance with section 5(b)(2) of the Wagner-Peyser Act. (§112(b)(7).)*

Wagner-Peyser staff does not currently participate in Eligibility Reviews. The UI function in DWS is centralized and registration, continued eligibility and filing claims take place over the telephone or Internet. Employment counselors regularly offer self-directed resources and other assistance to customers contingent upon the perceived need for services or the counselor's determination that the customer's work search or job referral history demonstrates the need for intervention. Employment counselors work closely with claimants identified through Worker Profiling to assist them in the successful transition to employment.

C. Assessment of Strengths and Improvement Opportunities

1. *In sum, how closely aligned is your current system to your vision? Assess your current system's ability to meet the customer and economic needs identified above. What are your key strengths? What weaknesses will you need to address to move forward? Describe any opportunities or challenges to achieving your vision, including any economic development, legislative or reorganization initiatives anticipated that could impact on the performance and effectiveness of your State's workforce investment system. (§§111(d)(2), 112(a).)*

Due to the creation of DWS in 1996 and the early development and implementation of the new workforce system beginning July 1, 1997, Utah has successfully One-Stop workforce services to customers. Thus, the state's five year vision and the collaborative system-building requirements in WIA have already been achieved and in many cases exceeded by DWS. Technological developments as well as improved youth services have furthered the ability to meet DWS's goals and vision.

The funding streams consolidated into DWS have promoted seamless, One-Stop workforce development services to customers in 37 full service ECs statewide. As previously described, an Employment Center Design Team was chartered by DWS Senior Management to design precisely how work gets done at all 37 ECs using DWS's mission, vision and slogan to develop the "exceptional EC." The EC Design Team's goal was to create a consistent, identifiable approach to serving customers, including a common look and feel in ECs such that when a customer walks in to any EC statewide they see the same signage, general layout, "feel" and responsiveness. The EC Design Team suggested major breakthroughs in EC service delivery, such as customer service that astonishes an overall simplification of processes, zero customer wait time, and an extreme employment focus. The recommendations from this design team were adopted by DWS Senior Management and implemented in all ECs beginning in the summer of 1997. DWS continues to operate on the EC Design principles of streamlined, seamless, one-stop customer-focused service delivery. DWS feels, and customer satisfaction survey results support, that this extraordinary change in the way employment and supportive services that are offered, meets the needs of employers, job seekers and the community.

The economic market defines wages and changes in the economy. However, DWS tries to respond to such trends as best as possible to adequately meet the needs of customers. DWS services will, however, impact the economy by helping to develop a high quality workforce. This workforce will attract employers, which in turn will benefit communities and the Utah economy.

The consolidation of five separate Employment Security-related agencies plus thirty other programs into DWS is a key strength. Many of the required and optional One-Stop partners under WIA are already part of DWS. Another key strength is the relationship DWS currently has with other key partners such as the Utah State Office of Education. DWS believes the consolidation has allowed for an extraordinary change in the way employment and supportive services are offered to meet the needs of employers, job seekers and the community. In addition, according to our 1998 data, our customers agree!

Beginning in June of 1998 and every year since, DWS conducts a customer satisfaction survey of all job seeking customers. Data is collected from over 3,400 customers who visited any EC statewide the first of June each year. The survey data from all five regions of the state indicates that survey-responding customers are most impressed with DWS' ability to offer compassionate employment-related and supportive services.

Employer customers are likewise surveyed each year. In August, all employers who had submitted a job order with DWS in the previous year are surveyed about the service they received from DWS. Roughly 13,000 employers throughout the state received the survey with data being collected from roughly 1,900 employers, averaging a 15 percent response rate. Top scores statewide refer to our compassion and responsiveness when serving employer customers. It is also interesting to note that according to employers, DWS has improved in providing more job referrals and placements in the last year. We feel confident that DWS provides quality, accessible, and comprehensive employment-related supportive services responsive to the needs of employers, job seekers, and the community.

In addition, technology enhancements have been made by DWS to enhance seamless workforce service delivery: At the request of the Associate Assistant Secretary Volman, Utah took the leading role with the of the WORKforce System (UWORKS). The overall purpose of this project was to design and develop an automated job matching system that will provide accountability, tracking and reporting of all services

provided via One-Stop Centers and their affiliates. UWORKS went online during 2002, and is currently used by service providers statewide.

Not only was this opportunity in case management system development consistent with DWS' goal of early WIA implementation and the vision of "...providing employment and supportive services to our customers to improve their economic opportunities." it also fulfills the expectations of three of our Strategic Goals: "Promote economic stability and self-sufficiency for", "Foster (develop) a workforce that is prepared" and "Foster an effective and efficient employment exchange."

2. *In moving your current system towards your vision, what are your State's priorities? (§§111(d)(2), 112(a).)*

Building partnerships and collaborative efforts with public and private sector entities continues to be a priority. In the area of volunteerism and social capital, DWS works with private non-profit organizations on resource referrals for supportive services such as housing, clothing, food services, etc. With the implementation of UtahCares, an electronic Information and Referral system in the fall of 2003, customers have access to service provider information 24X7. As mentioned, Vocational Rehabilitation partnerships are being further improved through a legislatively mandated study of the inclusion of Vocational Rehabilitation functions into DWS. Regardless of the outcome of the study, enhanced partnerships with the Office of Rehabilitation will occur.

Utah is also engaged in coordinating closely with the Department of Child and Family Services on the Transition to Adult Living initiative, one of Governor Walker's Work Plans. The intent is to develop improved service integration for youth in foster care, youth aging out of foster care, and youth leaving the correction system.

IV. STRATEGIES FOR IMPROVEMENT:

- A. **Leadership:** How will you overcome challenges to align your current system with your vision? How will the State implement WIA's key principles of local flexibility and a strong role for local Boards and for businesses? In your discussion, you must address the following required elements:

WIA is founded on seven key principles: Streamlined services, empowered individuals, universal access, increased accountability, improved youth services, local flexibility and a strong role for local boards and businesses. Challenges can be overcome through more effective listening and working in partnership with our customers and the community to define needs, solve problems, and allocate resources. Life-long learning as individual service providers and as an organization is essential in eliminating inefficiencies while improving service. Acting accountably for exceptional performance through the use of technology, increasing efficiencies, and involving all parts of the organization to meet and exceed performance outcomes will also aid in overcoming departmental challenges. Seeking out funding partnerships between agencies at the federal level to dissolve siloed funding streams will greatly enhance service delivery.

The Governor continues to support the workforce development system as a state-based with local stakeholder input on design and delivery as well as private sector leadership and direct involvement occurring at all levels of DWS (a strong role for local boards and businesses). Utah operates as a single workforce investment area with the SWIB performing the functions of the State and Local Workforce Investment Boards as required under WIA. Local flexibility is achieved, however, through state-mandated Regional Councils on Workforce Services, the chairs of which sit on the SWIB.

1. *Describe the steps the State will take to improve operational collaboration of the workforce investment activities and other related activities and programs outlined in section 112(b)(8)(A), at both the state and local level (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.). How will the State Board and Agencies eliminate any existing State-level barriers to coordination? (§112(b)(8)(A).)*

When HB375 was passed in 1996, many of the problems with coordination and duplication of services and related services greatly improved. Six agencies with similar programs were combined and the Department

of Workforce Services was created. As a result DWS has consolidated 106 existing offices into 37 ECs. Employment centers provide services ranging from employment services to supportive services, such as child care and food stamps. HB375 mandated that State and Regional Councils be developed and it specified who would be members of the State and Regional Councils, with a majority membership of private sector employers. The state and local council members continue to work extremely hard to promote a greater coordination between DWS and all required or optional partners as outlined in WIA. The State Council is the SWIB and the LWIB. Because of the mandates of HB375, the regional councils continue to help facilitate the local delivery of services, oversee regional workforce services area operations and ensure that services are being delivered in accordance with the WIA plan. Memoranda of Understanding (MOUs) have been written so that DWS and each of the partners will share the cost of providing services to clients and identify ways of avoiding duplication of services. These MOUs facilitate a more efficient and effective way to serve universal customers and allow DWS to achieve its mission. DWS and the SWIB continue to coordinate planning, policy design, and delivery of services with Public Education, Vocational Rehabilitation and Human Services and other partners. In addition, the SWIB continues to ensure that WIA policy is adhered to and the SWIB works closely with partners to identify processes and procedures that can be consolidated. Because of the mission, goals and objectives and composition of the SWIB, state level barriers to coordination continue to be removed.

Specifically, the attached MOUs are an important part of this process, and a foundation upon which coordination is based. But, collaboration is guaranteed by representation of the one-stop partners and additional community partners on the SWIB. A committee of the SWIB, Workforce Improvement and Coordination, has been given the charge to coordinate the workforce investment services and initiatives outlined in this state plan. Members of this committee with direction-setting leadership authority include the Superintendent of Public Instruction, the Commissioner of Higher Education, the Executive Directors of the Office of Rehabilitation Services and the Departments of Workforce Services, Human Services, Health, and Community and Economic Development. This committee of the SWIB has also invited into its ranks business and community-based organization leaders and Chambers of Commerce representatives. This committee has met, discussed collaboration and the elimination of barriers, and has set preliminary guidelines. It will evaluate the success of statewide collaboration; examine barriers, and set goals and plans for the elimination of the barriers. Collaboration and barrier elimination plans will give direction to staff and service providers of these organizations throughout the state and set outcome measurements. These plans will have the endorsement and authority of the SWIB.

2. *Describe how the State will assist local areas in the evolution of existing local One-Stop delivery systems. Include any statewide requirements for One-Stop systems, how the State will help local areas identify areas needing improvement, how technical assistance will be provided, and the availability of state funding for One-Stop development. Be sure to address any system weaknesses identified earlier in the plan. Include any state level activities that will assist local areas in coordinating programs. (§112(b)(14).)*

From the beginning of our development of the one-stop system, it was clear that we would have to provide enough flexibility in our delivery system so that local conditions (from the physical layout of the facility to the unique requirements for services in each area) could be considered while also providing equity of services throughout the state. Our efforts to assist each EC are made with the appropriate balance in mind:

Statewide Requirements for One-Stop Systems:

Employment Center (EC) Design Requirements:

A key requirement ensuring that services were integrated and customer-focused. Therefore, the Executive Director chartered an Employment Center Design Team. Some of the critical conclusions led to the following requirements for a One-Stop employment center, with adaptation allowed where there are only one or two employees in smaller ECs:

The EC must provide the type and level of service our customers have indicated that they require.

The front-end design of every EC must ensure that each contact will be employment-focused and that the front end service processes provide individualized customer service

Experienced professionals called Information Specialists who have extensive background in a variety of DWS services will be stationed by the door in the ECs to ensure each customer gets the services tailored to his or her needs.

To assist with peak hour customer flow, “up teams” are designated to assist to minimize customer waiting.

Signage is clear and gives a professional look to the EC.

For services that require only two or three minutes (scheduling of appointments, dropping off or picking up materials, issuance of Electronic Benefits Transfer cards), an Express Desk will be provided.

A Job Connection area for registration and comprehensive employment assistance is provided, which includes the self-help center.

Each EC provides the capability to assess customer needs both informally and formally and to provide services at the level needed by each customer, based on three levels of need: basic job search services for those job ready, self-help services and limited services for those needing some additional assistance, and support services for those who have significant barriers to employment.

The Franchise Look:

Although individual ECs may vary, due to the uniqueness of their physical layout or the needs of their customer base, there are certain elements of the centers that are common. The signage is similar, inside and outside, in terms of content and style. When customers enter any of the ECs throughout the state, they will note that there is a common look and feel within the center because of these elements.

Common Service Standards:

There are common expectations for services no matter where the EC is located within the state. The concepts for the Family Employment Program, for example, are the same in Logan as they are in St. George. Expedited Food Stamp service standards must be met in the one-person offices just as they are where there are many teams of employees in larger ECs. Each service is designed to include a common set of principles and expectations to allow for service equity statewide, and then the service provider is allowed to tailor the service to unique needs of a customer.

Standard Policy Manuals Available Statewide:

Policy manuals for key services provide guidance in service delivery. These are available to all organization employees at all levels at the touch of a button. All service providers have desktop personal computers linked into a wide-area network. The policies are easily accessible via software. Policy manuals are also available on the Internet for public access at www.jobs.utah.gov. Changes to policies are sent to service providers and program specialists by statewide E-mail, through video presentations, computer-based training and in memos.

Common Training for All Service Providers:

To ensure consistency in service delivery in all one-stop centers, the Service Delivery Support (SDS) and Human Resources have developed a common core curriculum for all service providers, plus specialized curricula for those focusing on particular aspects of service delivery (eligibility, case management, etc.).

State-level Assistance to Regions and Local Areas to Identify Areas for Improvement:

State staff and the SWIB help to identify areas for improvement in the ECs and to provide assistance to make improvements.

Statewide Gathering of Internal and External Customer Data:

DWS performs an annual survey of its three key customer groups: employers, job seekers, and Department employees. This data is provided on a statewide, regional, and EC basis. These surveys provide very valuable information on the level of service provided and areas needing improvement.

Management Data From the Workforce Information Unit:

This unit provides performance data on a regular basis to all levels within the organization. Most information is still output-based, but the unit is also very involved with DWS's push for outcome-based measures.

Providing Technical Assistance to Regions and One-Stop ECs:**State- and Region-level Specialists:**

A variety of state-level specialists are available to assist EC managers, supervisors and line workers. For example, policy specialists that are expert in specific DWS services are available directly via phone or via e-mail using the wide-area network. The names of these individuals, their areas of expertise, and methods to locate them are published regularly. Program Specialists also make staff assistance visits to ECs throughout the state. DWS Workforce Information Technology personnel also are available for consulting or to provide on-site training to individual ECs. To bring assistance even closer, SDS has an out-stationed Evaluation Specialist in each of the state's five regions. Regions also have policy specialists for many of the services to provide direct assistance to customers in ECs.

Statewide Training Consortium:

DWS has a statewide training consortium that includes members from SDS, from the state or region training units, from information technology, from management and from the ECs. This group consults with service providers and gets input on the effectiveness of DWS services. They can then steer curriculum content, development and delivery methods statewide.

Electronic Policy Manuals Available Statewide:

For questions on program policy, direct service providers have ready access to all policies over the wide area network from their desktop personal computers. This allows the service provider to get information and provide feedback to program specialists on any recommended changes. Conversely, program specialists can easily get the word out to all service providers quickly when federal or state policy changes occur. Policy is also available on the Internet for public access.

Video Updates:

When there are significant new initiatives in policy or in service delivery methods for all ECs, the training unit has the capability to produce its own video presentations. These are focused on what the direct service providers in the ECs need to know. They are mailed out with a training guide to each EC several times during the year.

Service Delivery Support (SDS) Monthly Q&A:

This is a monthly compilation of all questions asked by service providers in the ECs, together with answers provided by program specialists, regarding all aspects of policy content and service delivery. This is sent out via e-mail to all direct service providers, their supervisors, and managers.

System Weaknesses:**Information Technology to Support the Employment Center Design Concept:**

Utah's One-Stop system design focuses on the needs of the customer; UWORKS was implemented statewide during 2002

Funding Streams and Charging Back to Programs:

To truly meet the employment needs of customers, our service providers need to focus on specific customer outcomes rather than on which funding stream they are tapping. The current structure of federal and state funding makes this very difficult. Major federal funding is coming from Departments of Agriculture, Health and Human Services, and USDOL. There can be more than one stream coming from a Department, or multiple titles under one funding stream. Then state funds are added into the mix. From a costing and charge back perspective, this is a mammoth challenge. Initial use of Random Moment Time Sampling

(RMTS) shows some problems, and though a high-level team is reworking the process to better reflect activity, a truly workable method is not yet completed. Philosophically, it is difficult to have our service provider's focus primarily on the customer needs when the fiscal system, from the federal level down to the local EC, demands high fidelity in charges to programs. More consolidating of funding streams at the federal level is necessary if a customer-focused system is to work at its customer service peak.

Difficulty in Implementing Multi-functional Teams:

Crucial to EC service is to have a service delivery process that minimizes customer hand-offs. To support this customer focus, the EC Design Team envisioned a process where service delivery teams would have all the expertise to accomplish this. Initially, these teams would be a conglomerate of experts in the various services. As multi-functional training and experience were accrued, service providers would then develop skills so that each could take care of basic customer needs without handing the customer to another "expert." However, the intense training requirements to learn unfamiliar services, the many changes in service processes, and the shortage of supervisors with across-the-board experience all combined to slow the progress toward the multi-functional team ideal. Two major initiatives have helped solve the challenges. First, ongoing eligibility functions have been specialized in the ECs and in some areas consolidated into an Eligibility Service Center. Employment Service providers in the ECs are more able to focus on the "job, better job, career" aspirations of our job seekers. Another key initiative is the move of our training materials into a computer-based, flexible system. This allows our service providers easier access to service skills training on a "just in time" basis.

3. *How will your State build the capacity of Local Boards and youth councils to develop and manage effective programs?*

An overriding principle of DWS is that services are delivered in a localized manner while maintaining an overall statewide focus. While Utah is a very diverse state with the needs of employers and job seekers varying from county to county, the integrity of DWS delivered services is maintained through the oversight of regional councils. For example, Utah statute mandates that regional councils are responsible for determining the locations of ECs, developing annual regional workforce services plans, developing regional training priorities, working cooperatively with the SWIB, appointing regional DWS directors jointly with the Executive Director, coordinating the planning and delivery of workforce development services with Public Education, Higher Education, Vocational Rehabilitation, and Human Services, and reporting annually to the SWIB.

Fulfilling WIA local requirements with the SWIB and yet provide for local flexibility through the regional councils applies to the youth councils as well. Regional councils have the flexibility to form local youth councils that can provide the necessary leadership for effective coordination that is responsive to the needs of local youth.

The capacity of the SWIB and youth council is increased through a number of activities. State program specialists regularly present program and policy related information to council members. Additionally, council members are referred to and provided with relevant workforce development related literature. Council members are also referred to training sessions and conferences focusing on workforce development. Whenever possible, consultants and specialists are invited to participate in council meetings to provide technical assistance and information. These activities build the knowledge base of council members so that they are better able to develop and manage programs.

4. *Describe how any waivers or workflex authority (both existing and planned) will assist the State in developing its workforce investment system. (§§189(I)(1), 189(I)(4)(A), 192(a).)*

DWS will continue to utilize the following waiver approved for WIA 2004:

- i. Waiver to postpone subsequent eligibility determination of Training Providers through June 30, 2004. Request attached to extend this waiver through June 30, 2005.

DWS also reserves the right to request additional waivers in the future as we determine appropriate and beneficial to our customers.

- B. ***Services:** How will you meet the needs of each of the major customer groups identified in Section III? How will the State implement WIA's key principles of streamlined services, empowered individuals, universal access and improved youth services? In your discussion, you must address the following required elements: (111(d)(2), 112(b)(10), 112(b)(17)(A)(iv), 112(b)(17)(B), 112(b)(18.)*

As outlined previously, DWS identifies customers in two broad categories: job seekers and employers. Within these two categories, however, customers can have very different situations and varying needs. Because of this, DWS will pay special attention to meeting these varying needs through an individualized approach to each customer. This individualized approach starts with how the customer chooses to access DWS services. Services and information is offered electronically and through ECs and out-stationed staff, thereby allowing customers to choose the point of contact most convenient to them. Customers needing self-help and facilitated self-help are accommodated, while those needing additional help are assessed and receive core services as well as intensive and training services if needed. Similarly, employer customers receive services tailored to meet their individual needs.

In terms of the first key principle, streamlined services, the creation of the DWS consolidated five different state agencies and 36 programs. Employment related and supportive services are further streamlined in 37 one-stop ECs providing universal access to customers, another tenet of the Workforce Investment Act.

When then Governor Michael O. Leavitt developed the original task force charged with designing DWS, several guiding principles were put in place upon which the Department now operates. DWS has simplified the governance and operation of programs and is customer-driven. The implementation of Individual Training Accounts maximize customer choice (empowered individuals). DWS continuously strives to improve and measures results to meet the expectation of increased accountability. Through the youth activities and services outlined in this plan, DWS offers improved youth services statewide.

1. *Describe the types of employment and training activities that will be carried out with the adult and dislocated worker funds received by the State through the allotments under section 132. How will the State maximize customer choice in the selection of training activities? (§§112(b)(17)(A)(I), 132, 134.)*

DWS uses 5% of the adult, dislocated worker, and youth funding streams for state administration of these services. DWS will continue to use administration funds to operate the fiscal systems for all of the funding streams it administers. See a description of the One Stop Operating System in Section III.C.1., Assessment of Strengths. The remaining 10% of state set aside funds are used to provide core services to job seeking customers as well as statewide programs, staffing and management information systems.

The following activities will be included in state administration:

Approval of initial eligibility applications from training providers, subsequent eligibility procedures will be conducted in coordination with the State Office of Rehabilitation's process for approving training providers information on schools is provided by SDS to all ECs in the state. Customers who may qualify for training services are allowed to choose any approved school or program in the state, as long as training expenses for an occupation in demand can be met.

Technical assistance will be provided to regions that fail to meet internal performance measures and contribute to the state's performance. Performance is reviewed on a monthly and quarterly basis, although third and fourth quarter data are the most useful and accurate.

The operation of our one-stop delivery system will continue and expand as new partners join us.

All authorized employment and training activities listed under core services, intensive services, and training services are allowed in Utah. Decisions regarding services beyond core services to individual customers are based on the assessment and employment planning process. The customer and employment counselor make these decisions jointly.

The assessment and employment planning process with the customer helps customers and employment counselors to identify what would be appropriate training choices. Counselors are familiar with the types of training available, such as occupational skill training in the classroom, and on-the-job training. Other types of allowable training are used as appropriate. After a thorough testing and assessment process, the customer and counselor determine what type of training will best meet the customer's needs. If the decision is made that occupational training in the classroom is the best option, the performance information from approved schools that is available at every EC will give customers a very solid base on which to make a decision about where to go to school, and what program of study would give them the greatest chance of success. The information available maximizes their options in making an informed choice regarding their futures.

2. *How will the services provided by each of the required and optional One-Stop partners be coordinated and made available through the One-Stop system? Be sure to address how your State will coordinate Wagner-Peyser Act funds to avoid duplication of labor exchange services. (§§112(b)(8)(A), 112(b)(10).)*

Prior to WIA, many customers were being served by all agencies. The MOUs identify the resources of each agency and outline the process for customers to access other partners. Some partners have opted to be physically located in the One-Stop ECs, while others will be physically housed at separate offices. Some partners are accessed by electronic means. These partnerships greatly reduce the cost of client services by avoiding duplication of services and increasing the amount of available dollars so that more clients can receive services. Each MOU states how costs will be shared for serving this population in compliance with the Office of Management and Budget Circular A-87, DHHS and DOL interpretation letters, and in accordance with the approved DWS cost allocation plan. For example, costs are allocated to all benefiting programs and based on relative benefits derived.

DWS administers and provides services authorized under Wagner-Peyser, WIA, TANF, and Food Stamps. Those services include the labor exchange function. To avoid duplication of labor exchange services, Wagner-Peyser funds will only be used to pay for those services for customers who do not meet eligibility requirements for any other DWS- administered funding stream. Other partners provide and pay for labor exchange services to their eligible and appropriate customers. All services are available through our ECs, and customers are not concerned with the funding source of the core and intensive labor exchange services they receive.

3. *Describe how the funds will be used to leverage other federal, State, local and private resources (e.g., shared One-Stop administration costs). Specify how the State will use its 10 percent funds under section 7(b) of the Wagner-Peyser Act. Describe and provide examples of how these coordinated and leveraged funds will lead to a more effective program that expands the involvement of businesses, employees and individuals.*

One-Stop administration costs are shared among the various funding streams that are part of DWS. These funding streams include: Temporary Assistance for Needy Families (TANF), Family Employment Program (FEP), Food Stamps, Wagner-Peyser, and Workforce Investment Act. In addition to these funds, the State of Utah gave DWS 2.5 million dollars to fund labor exchange activities. These funds were pooled to provide core, intensive, and training services. The costs incurred by DWS in delivering these services are allocated back to the individual funding streams using the Random Moment Time Sampling (RMTS) cost allocation method. Due to the fact that many required partners are already part of DWS and administration funds are pooled, the duplication of administration costs is avoided. An example of how the coordination and leveraging of funds leads to more effective programs is demonstrated by the fact that individuals who meet the eligibility requirements for TANF are provided core, intensive, and training services funded by federal TANF dollars. Therefore, Wagner-Peyser funds are not expended on these particular individuals. This leaves more Wagner-Peyser funds to assist DWS customers who do not meet the eligibility requirements for services provided by TANF or other funding streams. The use of multiple funding streams allows DWS to provide more services to assist job seekers to develop the necessary skills to become employed in occupations in demand. This also benefits employers by providing them with skilled workers. The use of multiple funding streams also allows DWS to expand other services provided to employers with Wagner-Peyser funds. Some of these services include: screening for qualified applicants, employer seminars and conferences, labor market information, interviewing facilities, and job fairs. It also

provides funding for DWS Employer Relations Representatives who work closely with businesses to identify employment needs. The economic market defines wages and changes in the economy and DWS tries to respond to such trends quickly to adequately meet the needs of customers. DWS services will, however, impact the economy by helping to develop a high quality workforce. This workforce attracts employers, which in turn will benefit communities and the Utah economy.

An example of coordinated and leveraged funds is the "Choose to Work Project" being carried out by DWS and the Utah State Office of Rehabilitation (USOR). The purpose of this project is to provide people with disabilities, job development and job placement services to help them get employment. Both DWS employment counselors and Utah State Office of Rehabilitation (USOR) rehabilitation counselors make referrals to designated Choose to Work Employment Specialists in each region. Both USOR and DWS are funding CTW employment specialists who provide services to both DWS and USOR case managed referrals. UWORKS is being utilized as the common electronic case management system and for the collection of program data information.

Wagner-Peyser 7(b) ten percent funds are used to provide core and intensive services for groups with special needs who do not meet the eligibility requirements for services provided by WIA, or other required or optional partners, or other federal, state, local or private resource services. For program year 2004, the fund availability for 7(b) activities will be \$939,969. The following services are available to groups with special needs through the One-Stop system and contains examples of how these coordinated and leveraged funds will lead to a more effective program that expands the involvement of businesses, employees and individuals:

1. Applicants needing immediate, temporary placement or supportive services, such as food stamps, child care or general assistance are identified and an eligibility determination takes place during the development of an employment plan. The main goal is to assist applicants in obtaining employment that will lead to self-sufficiency.
2. Applicants with disabilities needing extra assistance are served in coordination with other services such as "Ability Utah," specialized school services, or Office of Rehabilitation Services.
3. At-risk youth are provided additional services or coordination with other services which may benefit them. DWS, the Mountainland Consortium of Schools (the WIA Youth region contractor), Juvenile Justice are conducting a pilot project with Serious and Violent Offender Reentry grant monies. In addition, DWS has established a vital link with Job Corps to help inform at-risk youth about Job Corps programs.
4. Youth entering the labor market needing additional help to orient them to the labor market can receive on-site counseling, job referral and placement assistance at school facilities. In addition, DWS provides Job Search Workshops designed specifically to assist Youth.
5. Ex-felons, older workers, veterans, and economically disadvantaged individuals are targeted by special outreach services. DWS provide space and facilities for other service providers. DWS provides workshops, placement, and outreach services through cooperative efforts with education and community organizations. Currently, DWS has outreach services in State prisons throughout Utah. DWS continues to partner with the Department of Corrections.
6. Additional services are be provided to dislocated workers (see section IV.B.4), migrant and seasonal farm workers (MSFWs) (see section IV.B.11), homeless individuals (see section IV.B.4), and those receiving services through funding streams such as the Family Employment (TANF) and Food Stamp Programs. TANF and most Food Stamp recipients go through the integrated DWS employment planning process, including the comprehensive assessment and employment plan outlining appropriate service options. An employment counselor is assigned for full case management and based on the counselor's understanding of the situation the supportive services necessary for the customers to achieve their employment goals are utilized.

7. Native American applicants in the Uintah Basin, Southwestern and Southeastern Utah, and ethnic minority applicants in other areas of the state receive special attention. DWS has formed partnerships with Native American organizations to ensure that Native Americans become knowledgeable about the services that DWS provides. In the Eastern Region, one EC has a very strong working relationship with the Navajo Tribe: a Tribal representative is housed at the EC to work with customers from the Tribes, and Welfare-to-Work grants. The EC pays the office expenses for that individual. Employment counselors in the EC develop self-sufficiency plans for Navajo customers under the Tribal JOBS contract, and staff are assisting the Tribe with their implementation of TANF.
8. DWS has developed a partnership with the Greater Salt Lake Chamber of Commerce and other business organizations to provide opportunities for persons who have barriers that impede their ability to become gainfully employed. DWS has contracted with Salt Lake Community College to provide training to supervisors who work for businesses that have hired applicants with special needs. The funding for this comes from Family Employment (TANF) funds. Core, Intensive and Training services will come from 7b funds.
9. Special needs applicants will complete Pell Grant applications. Special needs applicants who do not qualify for Pell Grants may become eligible to receive training through the use of the Youth, Adult, and Dislocated Worker funding streams. DWS partners with all agencies and organizations possible to offer additional resources for training services.
10. The 7b funds will be used in developing employment possibilities, providing workshops, such as Job Search and Job Retention, and referring applicants to testing and assessment services provided by DWS.

In addition, funds are used to provide management, technical assistance, resources and support to ECs involved in 7b activities.

Please see page 29 for a discussion of the written policies for DWS' various funding streams. The goal of policy integration is to provide seamless services to all customers regardless of eligibility for a certain funding stream. Eligibility will not be the first service a customer receives. This has been implemented in varying degrees in the ECs.

4. *Describe how the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farm workers, public assistance recipients, women, minorities, individuals training for non-traditional employment, veterans, and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking ability, and people with disabilities) will be met. How will the State ensure nondiscrimination and equal opportunity? (§112(b)(17).)*

DWS is responsible for serving a diverse population of job-seeking customers: those job ready and those needing intensive and training services to become employable. A detailed outline of the three-tiered service strategy can be found in 2. Services, section 12 below. Customized levels of services are based upon individual job seeker needs.

Dislocated Workers:

Employer compliance with advance notification of plant closings and mass layoffs as required by legislation is encouraged through DWS publications Business Consultants. Employment centers coordinate services to dislocated workers with the Rapid Response team when layoffs occur. Agreements to provide services at the dislocation site are arranged when feasible and include supplying and explaining labor market and employment information, providing specialized job search workshops, registering for employment or unemployment insurance services, and providing individualized counseling or placement services.

Employment center staff pay particular attention when assigning job titles and skill codes to the job match system to ensure accuracy of job classification. Employment centers also provide

special workshops for UI claimants to help them effectively approach employers. Additional assistance is offered through Worker Profiling and Reemployment Services to individuals identified as permanently laid off.

Displaced Homemakers and Non-Traditional Trainees:

Comprehensive assessment identifies the supportive services and skills enhancement needs of displaced homemakers (as defined in Section 101 of the Act). Emphasis is given to education and assistance in accessing technological and vocational training programs. Non-traditional fields are explored and encouraged as opportunities for higher wage and self-sufficiency. Both classroom training and worksite learning options are available and are listed on the state-approved training provider listing.

Migrant and Seasonal Farm Workers:

Services to this population are detailed in 2. Services, section 11 below.

Public Assistance Recipients:

Public assistance recipients are served using state TANF dollars. Comprehensive assessment identifies the supportive services and skills enhancement needs of these customers. Emphasis is on finding a job, then a better job, then a career. DWS' employment focus and support services help these customers reach self sufficiency.

Women and Minorities:

Service rates for female and ethnic minority customers are reviewed to monitor parity of services comparable with the total customer group. Again, comprehensive assessment is practiced and non-traditional training is encouraged where appropriate. Disadvantaged individuals from these groups are referred to supportive services depending on individual need and special eligibility criteria. DWS also responds to employer requests for special recruitment when the employer is complying with the provisions of an affirmative action plan.

Veterans:

The Veterans' Employment and Training Service has initiated new guidelines for categorizing veterans seeking assistance from the Disabled Veterans' Outreach Program (DVOP) or Local Veterans' Employment Representative (LVER). This provides the DVOP or LVER a standard by which they can prioritize their veteran customer and as a result utilize their time serving those veterans with the greatest need.

Level 1 Customers need little or no assistance from the DVOP or LVER. These are veterans simply looking for "job referrals" or general information that can be provided through a handout or using the self-help terminals.

Level 2 customers require limited assistance from the DVOP or LVER. These are veterans seeking resume information or minimal intervention in terms of developing or improving their job search technique.

Level 3 customers require intensive assistance from the DVOP or LVER. These are veterans with major barriers to finding employment such as homeless veterans, and Department of Veterans' Affairs Vocational Rehabilitation and Counseling veterans.

Services to this population are explained further in 2. Services, sections 9 and 10 below.

Multiple Barrier Customers:

As discussed above, comprehensive assessment and other intensive services are essential to servicing the needs of specialized populations. Individualized counseling, job development, coordination with other required and optional partners, and customized referral and placement services are all used in meeting the needs of the older worker, those with limited English-speaking ability, and other multiple barrier customers. DWS employs many service providers who have language skills and assist with both verbal and written translation as needed.

Homeless:

Homeless persons are given placement, counseling and supportive services. These services may include on-site interviewing, counseling, and job referral at homeless shelters. DWS continues to

provide periodic transportation service in the Salt Lake area from homeless shelters to and from the Temporary Placement Office.

Applicants with Disabilities:

Services to applicants with disabilities are discussed in 2. Services, section 8 below.

Nondiscrimination and Equal Opportunity:

All DWS services are provided in a manner assuring compliance with the non-discrimination and Equal Opportunity provisions of WIA, Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act, the Age Discrimination Act, Title IX of the Education Act, and the Nontraditional Employment for Women Act.

5. *Describe the criteria developed by the State for local boards to use in determining that adult funds are limited and that priority of service applies. Describe the guidelines, if any, the State has established for local boards regarding priority when adult funds have been determined to be limited. (§§112(b)(17)(A)(iv), 134(d)(4)(E).*

Due to an expected limitation of adult funds, DWS has established a priority criteria. Low income individuals will receive the highest priority for receipt of intensive and training services. Public assistance recipients will be served using state TANF dollars. This criteria will be evaluated and compared to customer need and satisfaction measures and will be modified as appropriate. Veterans are given additional points in the prioritization process.

6. *Describe how the needs of employers will be determined in the local areas as well as on a statewide basis. Describe how services (e.g., systems to determine general job requirements and list jobs), including Wagner-Peyser Act services, will be delivered to employers through the One-Stop system.*

Employers who are seeking workers usually contact their local EC or regional staff by phone to place a job order, or the orders may be placed directly by the employer on the Internet, some job orders are received directly at the employer's establishment. The employment counselor/business Consultant taking the job order advises the employer of current labor market trends or conditions, and explains services available through the EC and online services. Together the employer and employment counselor/business consultants determine the minimum qualifications needed for the job. Job specifications, including wage, shift, work hours, job site location, and minimum qualifications are recorded directly on a computer terminal. We have increased the number of available characters from 500 to 1500 to allow for more complete and precise matching process. Each job order is assigned an occupational code to facilitate computerized job match, and is added to the MIS data base for collection and analysis of labor market information.

The match between job applicants and employer job orders is accomplished by an on-line automated search of the applicant record files. Customers meeting the qualifications are identified for immediate referral or further screening if the employer requests a limited number of referrals. If an adequate number of customers cannot be found in the system, the applicant pool may be searched with modified job requirements to identify potential referrals. The employer may then choose to revise the job specifications, or use other EC resources.

DWS initialized a shift to more "self-help" services on the part of employers. Certain industries can be targeted for individual pre-screening on a local basis, or DWS can provide mass recruitment and job fair opportunities, as well as self-help opportunities for employers through America's Job Bank. DWS provides support for employers as they recruit, but employers can self-screen applicants. DWS recruits as many good applicants as possible so that employers have a wide variety of workers to select from.

DWS continues to work to understand and anticipate the needs of employers. The employer survey is conducted annually to identify areas of strength and weakness. The business community has majority representation on Regional Workforce Services Councils. Additionally, many ECs have employer committees that provide feedback and direction on local needs and priorities. Business Consultants interact closely with both of these groups and also with other area

employers. They monitor local workforce information closely to watch for trends and opportunities to serve employers. DWS is also looking at out stationing or electronically attaching Business Consultants in Chambers of Commerce and other viable employer-driven organizations. These potential partnerships will expose DWS employees to the business community and help them to more actively participate in community events for employers.

Employer Relations has undergone a metamorphosis during the first year of DWS's existence. What was seen for many years as a service area where local Business Consultants collected and provided information in an autonomous fashion is now seen as a real marketing tool where the state can provide vision and support, while the regions and local ECs develop appropriate pathways and service delivery models. Each Business Consultant is seen as a member of a larger "sales-team" which provides individual support and assistance to local employers.

DWS has created an Employer Relations and Marketing Workgroup to facilitate communication between activities on a state level and individual services and needs on the local level. One project of this workgroup is to improve the delivery of workforce information to the front-line for use in employer contacts.

DWS increased training opportunities for participating employees. A three-module employer relations training program was created which included a global overview of employer relations for all employees. In addition, twice yearly, the Office of Public Affairs holds regional employer relations retreats where discussion focuses on the integration between paid advertising campaigns and local employer relations. Best practices are shared, as well as ideas for improvement.

How will the system streamline administration of federal tax credit programs within the One-Stop system to maximize employer participation? (20 CFR part 652.3(b), §112(b)(17)(A)(I).)

Utah's Work Opportunity Tax Credit and Welfare-to-Work tax incentive programs are centralized in the DWS Direct Programs Unit. A centralized mail-in certification process streamlines administration. Employers can access tax credit information and applications through our website or in any EC. Employer participation is maximized through marketing and training. Staff training assures the appropriate information is available to employers.

7. *Describe the reemployment services you will provide to Worker Profiling and Reemployment Services claimants in accordance with section 3(c)(3) of the revised Wagner-Peyser Act. (§112(b)(7).)*

The objective of Worker Profiling and Re-employment Services is to identify individuals who are most likely to exhaust their 26 weeks of regular unemployment compensation and to match those individuals with needed re-employment services. The purpose is to identify potentially dislocated workers soon after their initial unemployment insurance claims have been filed and provide re-employment services to aid them in their job search and foster rapid return to productive employment. The basic components of profiling and re-employment services are: Identification, Selection and Referral, Assessment and Employment Plan, Re-employment Services and Outcome Measures/Feedback. Once selected for profiling, individuals must have received a first payment in order to be eligible for re-employment services.

All selected individuals are required to attend an orientation where an assessment will be done to identify their strengths and weaknesses, educational level, work history, vocational skills, and any barriers to employment. Once assessed, all individuals must have an individualized employment plan developed which will utilize the specialized services available in each local area. The plan must include the individual's goal, overall job search strategies, appropriate services to achieve re-employment as soon as possible and an itemized list of expected accomplishments with specific time frames. Services available for profiled individuals may include testing and assessment, job placement services, vocational counseling, job search workshops, labor market/career resource

information, and referrals to local service providers and training. An individual who chooses not to participate in re-employment services, fails to attend or to complete services as outlined in their plan without justifiable cause may have their benefits terminated until they demonstrate participation. Individuals have appeal rights in accordance with the Secretary's Standard for Claim Determinations; however, orientation and assessment cannot be contested as they determine what, if any, additional re-employment services may be needed by the individual. DWS tracks individual participation in reemployment activities and assures that profiling reporting and follow-up requirements are met.

8. *Specifically describe the Wagner-Peyser Act-funded strategies you will use to serve persons with disabilities. (Wagner-Peyser Act §8(b), WIA §112(b)(7).)*

Customers self-disclosing disability information are identified as a special population group for receiving services. Employment center staff provide personalized, more extensive service to help customers with disabilities become employed. Services to job seekers with disabilities includes individualized counseling, job development, coordination with other available resources, and customized job referral and placement services. To assist hearing-impaired customers, each EC is equipped with Telephone Device for the Deaf (TDD) services. DWS also works cooperatively with other agencies and organizations, such as the Easter Seal Society of Utah and the Office of Rehabilitation to provide employment-related services for individuals with disabilities. Many of the ECs have cooperative agreements with area rehabilitation facilities. ECs also plan special annual activities (media coverage, video presentations, job fairs) in conjunction with the National Awareness Month for Employment of People with Disabilities. Most recently, DWS has partnered with the Office of Rehabilitation in writing and receiving a "Choose to Work Grant" to serve persons with disabilities.

9. *How will Wagner-Peyser Act funds be used to serve veterans? How will your State ensure that veterans receive priority in the One-Stop system for labor exchange services?*

DWS provides priority services to veterans. Those identified at the point of reception or during the intake process are served as a priority customer and receive individualized services. Prioritization involves the screening of new veteran applicants to determine whether they can best benefit from self-service, facilitated service to include job development and referral for job-ready veterans, or intensified customer-centered employment services. EC staff provides service to those veterans that will benefit from self-service and facilitated service. The Local Veterans' Employment Representative (LVER) or the Disabled Veterans' Outreach Program (DVOP) staff provides the intensified customer-centered employment services using a case management approach.

10. *What role will LVER/DVOP staff have in the One-Stop system? How will your State ensure adherence to the legislative requirements for veterans staff? How will services under this plan take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs? (§112(b)(7), (§322), 38 U.S.C. Chapter 41 and 20 CFR part 1001-120.*

The LVERs and DVOP staff will provide employment services described in Title 38 U.S.C. to eligible veterans only. This will include outreach to veterans needing the services provided by the ECs. Services provided by the LVERs and DVOP staff are focused on disabled veterans, veterans completing training under the Department of Veterans' Affairs, Chapter 31, Vocational Rehabilitation Program, and veterans with barriers to employment. Special emphasis for the delivery of employment services will be provided to those veteran populations traditionally disadvantaged in the local labor market as evidenced by greater rates of unemployment than their veteran or non-veteran counterparts. These groups include but are not limited to disabled, ethnic minority, female, homeless veterans, military separates, and economically disadvantaged veterans. Veterans are able to receive more comprehensive guidance, assessment, counseling, and placement services in these programs so that performance standards established by the Department of Labor are met or exceeded.

The Transitional Assistance Program (TAP) offers special services to veterans at Hill Air Force Base in Ogden, Utah; to help separating military personnel and their spouses make the transition to civilian life.

Three-day workshops offer intensive training on issues such as transferring military skills to the civilian workplace, seeking employment, civilian hiring practices, application and interviewing techniques, and related skills for securing employment. Local DWS veteran's staff conduct the workshops twice a month at Hill. The staff are assisting hundreds of military personnel affected by downsizing to successfully bridge the adjustments from military to civilian employment.

In order to accomplish the above general services for veterans, Utah's LVER's and DVOP's have the following specific roles and responsibilities.

LVER's roles and responsibilities

1. Capacity Building of Other Services Providers

Ensure that veterans are provided the range of employment exchange services needed to meet their employment and training needs. Work with internal and external providers, such as Employment Counselors, Eligibility Specialists, State Vocational Rehabilitation, Bureau of Apprenticeship and Training, to develop their capacity to recognize, and respond to these needs. Responsibilities may include the following activities:

- a. Train other staff and service delivery system partners to enhance their knowledge of veterans' employment, benefits, and resources.
- b. Promote veterans' as category job seekers in the workforce development system that has highly marketable skills and experience.

2. Advocacy for Veterans' Employment and Training

On behalf of veterans, advocates for employment and training opportunities with business and industry, and community-based organizations. Responsibilities may include the following:

- a. Plan and participate in job fairs to promote services to veterans.
- b. Work with unions, worksite learning programs, (OJT, apprenticeships, internships), and business community to promote employment and training opportunities for veterans.
- c. Promote credentialing and other certification opportunities for veterans with training providers and credentialing Entities.

3. Business Services / Job Development

Establish, maintain, or facilitate regular contact with employers to develop employment and training opportunities for the benefit of veterans. Responsibilities may include the following activities:

- a. Develop business services contact plan for the Employment Center (E.C.), to include identified federal contractors (FCJL).
- b. Coordinate with DWS Business Consultants to facilitate and promote opportunities for veterans seeking jobs.
- c. Contact employers to develop jobs for specific veteran customers.

4. Employment Exchange Services (Core Services)

Provide or facilitate a full range of employment exchange services, as appropriate, to meet the needs of newly separated and other veterans in the workforce development system. Responsibilities for employment exchange services may include, but are not limited to the following activities:

- a. Conducts or refer veterans to job search assistance workshops.
- b. Provide job development and job referral services.
- c. Provide vocational resources information.
- d. Provide labor market information (LMI).
- e. Provide appropriate referrals to external training and supportive services.
- f. Conducts workshops to transitioning military personnel through the facilitation of the Transition Assistance Program (TAP), in areas where available.
- g. Make referral to appropriate community resources.
- h. Determine if veteran should move into intensive training services.

5. Reporting

Provide quarterly reports to the individual responsible for the management of the Employment Center to which the LVER has been assigned, and, through the appropriate State agency channels, to the State Director of Veterans Employment and Training (DVET). Reports should include:

- a. Compliance with State policies on services to veterans.
- b. Accomplishments in meeting the State's performance standards for services provided.
- c. Provide success stories.
- d. Follow reporting procedures and format of report as established by DVET.

DVOP's Roles and Responsibilities

1. Employment Exchange Services (Core Services)

Provide or facilitate a full range of employment exchange services, as appropriate, to meet the needs of newly separated and other veterans in the workforce development system. Responsibilities for employment exchange services may include, but are not limited to the following activities:

- a. Conducts or refer veterans to job search assistance workshops.
- b. Provide job development and job referral services.
- c. Provide vocational resources information.
- d. Provide labor market information (LMI).
- e. Provide appropriate referrals to external training and supportive services.
- f. Conducts workshops to transitioning military personnel through the facilitation of the Transition Assistance Program (TAP), in areas where available.
- g. Make referral to appropriate community resources.
- h. Determine if veteran should move into intensive training services.

2. Outreach (20% of their time)

Conduct outreach activities with the purpose of locating candidates who could benefit from intensive services and market these services to potential customers in programs and places such as the following:

- a. Vocational Rehabilitation and Employment (Federal) (VR&E).
- b. Homeless Veterans Reintegration Project (HVRP)
- c. Department of Veterans Affairs (VA) Hospitals and Vet Centers.
- d. Homeless shelters.
- e. Civic and service organizations.
- f. Partners through the Workforce Investment Act (WIA).
- g. State Vocational Rehabilitation Agencies.
- h. Other service providers.

3. Intensive Services

Provide and document intensive services to veterans using current case management system (UWORKS). These services may include any combination of the following services.

- a. Provide and conduct assessment (formal and informal on an ongoing basis).
- b. Develop, negotiate, and document an employment plan.
- c. Provide and conduct career guidance.
- d. Coordinate supportive services in consultation with Eligibility Specialist(s) and other support services.
- e. Provide and conduct job development contacts.
- f. Refer to appropriate jobs.
- g. Determine eligibility and appropriateness for training services and make referrals.
- h. Follow rules, policy and procedures established by DWS.

***NOTE: It is understood that certain situations may arise in which a DVOP responsibility may need to be undertaken by an LVER and vice versa. For example, a veteran who attends a local**

Employment Center and needs intensive services should receive intensive services from an LVER in the absence of available DVOP staff.

The following services are contingent on funding:

The Veterans' Workforce investment Programs (VWIP), Education and Training Program for Veterans, funded through an annual WIA grant, provides services to eligible disabled veterans, Campaign/Wartime veterans, and recently separated veterans with prioritized service to subgroups. The program is marketed locally through ECs. LVER and DVOP staff screens customers who are referred to the Mountainland Region where the program is administered for the state. Regional representatives personally meet with customers throughout Utah thus assuring consistency in VWIP eligibility and service delivery.

11. *Describe how the State will provide Wagner-Peyser Act-funded services to the agricultural community--specifically, outreach, assessment and other services to migrant and seasonal farm workers, and services to agricultural employers. How will you provide equitable services to this population in the One-Stop system? (20 CFR part 653, §112(b)(7).)*

During program year 1999, DWS sought out migrant and seasonal farm workers (MSFWs) to ensure that they receive counseling, testing, and job and training referral services that are quantitatively and qualitatively equivalent to similar services provided to non-migrant and non-seasonal farm workers.

To facilitate this goal, the Monitor Advocate visits the areas where significant numbers of MSFWs congregate. The Monitor Advocate informs MSFWs of the full range of employment-related services available in the ECs. He invites the MSFWs to come to the ECs to receive services, but in those cases where the MSFWs decline to come, yet still wish services, the Monitor Advocate takes employment registrations to them and ensure that the registrations are later entered into the automated job match system

The Monitor Advocate also works closely with community-based organizations to ensure that proper services are provided to MSFWs and that sufficient numbers are located and offered available services. As needed, an individualized, comprehensive assessment will be completed. Information gathered will be used to develop appropriate employment goals and strategies needed to attain that goal. The DWS Assessment Interview Guide provides a structure to comprehensively assess barriers, and needs. Some of the areas that could be assessed are: family situation, financial needs, education, skills, works experience, etc. Further testing or information gathering may be scheduled based on individual circumstances.

MSFW activity is under the oversight of the State Monitor Advocate. The Monitor Advocate; provides training, information, technical assistance, and support to EC management, and staff, to enable them to implement the service goals. The Monitor oversees all monthly reports and DWS complaint logs.

In order to achieve compliance with ETA standards, DWS has a MSFW Alert Report which produces monthly reports on the level of service provided to MSFWs. This report is reviewed by the Monitor Advocate and EC managers. When the report shows ECs are out of compliance with MSFW standards, immediate corrective action is expected.

In each local area, agricultural employers will receive services at the same level as non-agricultural employers. Agricultural employers may receive services at their own request or as recommended cate will make a special effort to disseminate literature and promote the use of the agricultural recruitment system to employers with the hope that the extra effort increases job orders and employment opportunities for migrant and seasonal farm workers.

12. *Describe how Wagner-Peyser Act funds will provide a statewide capacity for a three-tiered labor exchange service strategy that includes (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service. Describe your State's strategies to ensure that Wagner-Peyser Act-funded services will be delivered by public merit staff employees. (§112(b)(7), §§3(a) and 5(b) of the Wagner-Peyser Act).*

DWS employs public, Utah merit system staff to deliver one-stop services in the network of ECs throughout the state. DWS has supported an "Employment First" philosophy from its inception and will modify that strategy as needed to adopt the three-tiered system.

Self-service:

As outlined in Section II State Vision and Goals, the DWS five-year vision included an increase in technology and self-service, easy-access delivery. Through the use of the Internet, America's Career Kit, and the DWS web page and hot links, self-service attracts many job seeker and employer customers. The DWS employment-first philosophy encourages those job seekers who are job ready to access employment exchange services from their homes, the library, or other convenient community sites. For those who prefer to use our ECs, the Job Connection Areas allow a customer to access the Internet, as well as utilize other self-help computer programs to explore training and employment opportunities.

Facilitated Self-help Service:

All services are available, offered, and explored with the intent of maximizing individual talent, skill and ability, and one-stop resources to assist the customer in obtaining employment. In the case of the TANF/FEP or other low-income individual, DWS intends to assist the customer in achieving economic self-sufficiency. Facilitated self-help services provide the level of staff assistance required without the intensity of a full case management approach. Staff in the Job Connection areas are available to assist customers with initial use of the computer system. A customer may access workshops that would be helpful in gaining interview, resume writing, work ethics and other life skills. Workshops have been developed with the intent to train the customer to use our self-service options and therefore become capable of accessing services independently in the future. An employer may use on-site facilities for testing and interviewing job seekers. Up-front assessments and eligibility determinations will assist job seekers with valuable information regarding what other services could be provided that would increase their skills and overall marketability. Other examples of facilitated self-help services include: job placement activities, workforce information, employer relations services, and unemployment insurance.

Staff-Assisted Service:

For the individual needing further assistance to become employed or to remain employed, staff-assisted services are the next progressive step. Employment counselors work closely with the job-seekers to provide case management services such as: comprehensive vocational assessment and testing, assisting the customer in developing an employment plan, coordinating necessary supportive services in conjunction with the employment plan, referrals to workshops, arranging pre-vocational services, and assisting with Pell Grant applications. DWS staff further serves as a link to other partnering agencies to maximize all training assistance and funding.

Even with the emphasis on "employment first," DWS realizes our customer population includes individuals who need training in order to transition from the supportive services to economic self-sufficiency. Through extensive case management assistance, employment counselors coordinate training and supportive services, needs-related payments, provider selection, and ultimately job development or placement activity to facilitate the customer attaining employment.

With emphasis toward "employment first" in the one-stop ECs, DWS is dedicated to provide customized levels of services based on individual job-seeker needs.

13. *Describe how your State will provide rapid response activities with funds reserved under section 133(a)(2), including how the State will use information provided through the WARN Act to determine when to provide such activities.*

- a. *Identify the entity responsible to provide rapid response services.*

The State Rapid Response Dislocated Worker Unit (DWU) is a part of DWS' Workforce Development and Information Division (WDID) and is responsible to provide rapid response services. The DWU receives notifications of plant closings and mass layoffs, and Worker Adjustment and Retraining Notification Act (WARN) notices, and Trade Act TAA Petitions. Upon receipt of closing or layoff information, the DWU contacts the company, to make arrangements for rapid response services. The DWU responds to any size closing, trade impacted companies, and layoffs of 15 or more impacted positions. The DWU gathers and disseminates layoff and closure information, provides rapid response services, and provides federal / regional reports, the layoff information and reporting elements are located in UWORKS. For layoffs less than 15 the DWU may defer to a Business Consultant for a local area response. Business

Consultants coordinate local area responses with the DWU, document layoff information and services provided to employer notes in UWORKS, and submit documentation to the DWU.

The DWU has three members, the State Rapid Response Coordinator, the State TAA Coordinator, and a Labor Liaison. The DWU coordinates service and program information with the State Dislocated Worker Specialist, who is part of SDS.

- b. *How will your State's rapid response unit's activities involve the local Boards and local Chief Elected Officials? If rapid response functions are shared between your State unit and local areas, identify the functions of each and describe how rapid response funds are allocated to local areas.*

The DWU works closely with appropriate regional councils and Chief Elected Officials. The SWIB is given regular reports on WARN and Rapid Response team activities, including the number of layoffs and workers dislocated. This information assists the SWIB in making recommendations on the state plan and policies, and solidifying the coordination process. The two-way flow of information between regional staff and the state team ensures the dissemination of information to the public sector and business communities.

One team member represents Organized Labor on the SWIB. This coordination also facilitates the exchange of information between the regions, SWIB, and organized labor. This team member brings back information concerning SWIB discussions during their meetings, including regional issues raised by regional representatives.

- c. *Describe the assistance available to employers and dislocated workers, particularly how your State determines what assistance is required based on the type of lay-off, and the early intervention strategies to ensure that dislocated workers who need intensive or training services (including those individuals with multiple barriers to employment and training) are identified as early as possible. (§112(b)(17)(A)(ii).)*

The Rapid Response team provides two workshops for dislocated workers to assist in the downsizing process. Before these workshops are presented, a team member discusses the needs of the workers with company officials. The first workshop, the "Dislocated Workers Resource Workshop," includes topics such as Understanding and Coping with Typical Reactions to Job Loss, Unemployment Insurance, Opportunities for The Dislocated Worker, Financial Counseling Services, and Workforce Information. The "Job Search Assistance Workshop" presents Identifying and Managing Stress, Job Search, Applications, Skills Analysis & Preparing Resumes, and Interviewing Techniques.

During the initial contact with the company, information is gathered to determine the extent of special needs or services required to effectively assist the dislocated worker group and the company. Employment Counselors in the ECs determine provisions for intensive and training services.

14. *Describe your State's strategy for providing comprehensive services to eligible youth, including any coordination with foster care, education, welfare and other relevant resources. Include any State requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Describe how coordination with Job Corps, youth opportunity grants, and other youth programs will occur. (§112(b)(18).)*

As indicated in previous sections, one of the primary goals of DWS is to improve services to youth. It is extremely important to be responsive to the needs of the emerging workforce. Under WIA, the youth population is considered important and necessary customers of the One-Stop system. This clear direction puts youth directives in the forefront and help establish the youth population as valued customers who are necessary to ensure a continued high-quality workforce.

Utah has implemented a youth strategy in accordance with WIA section 129. Namely, activities and services are directed toward helping eligible youth achieve academic and employment success. This has been done through comprehensive services oriented to each youth's individual needs. Included in these comprehensive services are training related activities; however, these

more traditional youth activities are fused with developmental activities necessary to help produce successful adults. In addition, these activities are offered in a continuous setting, with the completion of clear academic and employment related goals signaling the end of participation, not arbitrary program dates. Appropriate follow-up services are provided to all youth to ensure continued success and help maximize the previous investment of time and resources.

DWS currently provides WIA Title I-B services to youth. Many core and intensive services offered by DWS are available to eligible youth. It is clear, however, that coordinating with other youth programs is necessary to offer the comprehensive services as outlined by the Act. The state youth council and regional youth councils are the catalyst for securing all the required services, by involving appropriate youth stakeholders. Coordination is driven by information exchange, referral processes and efforts at reducing duplication. Although individual program goals and outcomes may differ, all stakeholders recognize the need to build upon each other's successes in order to help transition youth into successful adults. Additionally, a youth perspective accompanies program development and oversight by participation of former participants and parents on the youth council.

Many partnerships are currently in place and the youth council helps formalize and strengthen those that are currently being initiated. One of the first steps that is taken by stakeholders was identifying available services and the youth populations who are eligible for those services. This provides insight into areas where coordination was needed to avoid duplication and maximize federal and state funds. It also provides insight into areas where services are needed, so those needed activities can be developed and available for youth eligible for WIA services. This type of coordination is not unprecedented in Utah. DWS, as well as other youth and human service agencies participate on these councils to identify at-risk youth and help coordinate needed resources.

As mentioned, DWS currently provides many supportive services youth may be eligible to receive. These include financial assistance, food stamps, Medicaid and Child Care assistance. As with adults accessing One-Stop services, these services are available to youth to support them in their employment plans. As DWS is the One-Stop operator in Utah, youth enrolled into WIA activities have a wide array of employment related services including self-help and facilitated help in EC Job Connection areas, access to workshops, job fairs and opportunities to register for work on the employment exchange system. Specifically, the elements of WIA Youth Services, including goal setting activities for younger youth, are available through the regional WIA Youth contract providers. In addition, through memoranda of understanding, youth have access to all the required partners' services through the DWS Employment Centers.

Because DWS provides financial assistance through the Family Employment Program (FEP), at-risk youth receiving this service can easily be targeted for WIA activities. Many youth who are pregnant or parenting receive assistance through the FEP program. WIA activities can easily be coordinated for this population so that their educational and training activities are supported by monthly financial benefits. In addition, FEP policy mandates all youth who are part of FEP households must attend school. Those who are identified as not attending school can be readily referred to WIA activities with the goal of re-engaging them into the educational system, either through traditional or alternative school settings.

Partnerships established prior to WIA have continued under WIA include those with the Utah State Office of Education (USOE), Job Corps, State Department of Human Services and Juvenile Justice agencies. DWS is engaged in coordinating closely with the Department of Child and Family Services on the Transition to Adult Living initiative, one of Governor Walker's Work Plans. The intent is to develop improved service integration for youth in foster care, youth aging out of foster care, and youth leaving the corrections system. DWS currently partners with the USOE in the School-to-Careers effort. In various areas throughout the state, school staff has access to the DWS employment exchange data base. This is used to coordinate job shadows and internships with employers who are willing to provide these opportunities. The database also helps to track student progress and provides case management support. Many DWS employees are funded partly by the school system to provide counseling, testing and assessments, job referral and placement assistance. Some of these employees are located on-site at high schools, colleges and applied technology centers throughout the state. These employees also often facilitate field

trips to local employment centers to introduce students to Job Connection areas in local ECs. DWS also currently partners with USOE to provide services to 16-18 year old youth who have dropped out of the school system. In this “adult” education model, participants are assigned a counselor and a mentor who help facilitate services and, hopefully, re-entry into the school system. Other areas of coordination include sharing of assessment data, and use of Student Educational and Occupational Plans (SEOP) in the employment planning process.

Utah has two Job Corps Centers in the northern area of the state. Because Job Corps is a required partner of the One-Stop system, a memorandum of understanding has been developed which outlines the delivery of applicable core services. A representative of each Job Corp center sits on the State Youth Council. Under the MOU, DWS continues to provide many core services to Job Corps students. Job Corps works with ECs throughout the state to aid in their outreach efforts by providing resource material and training on appropriate referrals. DWS employees receive information on Job Corps services as part of community resource training. In addition, Employment Centers located in the areas of the Job Corps facilities continue to register Job Corps graduates for employment exchange services and assist them in learning to use self-help resources.

Many DWS offices currently work with the Department of Human Services and Juvenile Justice agencies on referrals for youth in foster care and correction facilities. In addition to the above mentioned agencies, DWS currently works in some capacity with housing agencies, law enforcement agencies, 4-H clubs, Boys and Girls Clubs, recreational centers, Americorps, ESL programs and pregnancy prevention and teen parenting classes. Currently, the level of coordination with these youth agencies and programs varies throughout the state. Although the coordination may vary, current partnerships that work well to serve youth will be identified and replicated throughout the state.

All DWS programs follow ADA and EEO guidelines to ensure those with special needs or barriers to employment have equal access to needed services. Assistive technology such as TDD machines are available to ECs. As indicated, many pregnant and parenting youth are currently served through financial and medical assistance programs. DWS also administers

Close linkages with the State Office of Rehabilitation helps ensure the needs of disabled youth are met. Special needs and barriers will be identified through the assessment process. Employment counselors use resources available through DWS and other agencies to meet the needs of youth participants.

15. *Describe how your State will, in general, meet the Act’s provisions regarding youth program design, in particular:*

- *preparation for postsecondary educational opportunities;*
- *strong linkages between academic and occupational learning;*
- *preparation for unsubsidized employment opportunities;*
- *effective linkages with intermediaries with strong employer connections;*
- *alternative secondary school services;*
- *summer employment opportunities;*
- *paid and unpaid work experiences;*
- *occupational skill training;*
- *leadership development opportunities;*
- *comprehensive guidance and counseling;*
- *supportive services; and*
- *follow-up services. (§§112(b)(18), 129(c).)*

The design framework of the youth program includes all the requirements outlined in the Act, specifically objective assessments, employment planning (individual service strategies) and referral processes. All youth entering the service delivery process receive objective assessments. Assessments follow the guidelines in WIA section 129, including a review of academic and occupational skills, interests, aptitudes as well as developmental and supportive service needs. Assessments provide the needed information and data to complete employment plans that identify employment and educational goals in addition to the services needed to reach the identified goals.

Assessment information and employment strategies are shared with appropriate partners to encourage consistent and accurate information that helps foster a continuum of services rather than short interventions.

Information and referral processes have been implemented to help expose youth to the wide array of applicable services that are available through DWS and One-Stop partners. Those applicants who do not meet enrollment requirements, or otherwise cannot be served through WIA, will receive further assessment as necessary to identify other programs and funding streams that can meet their individual needs.

The youth program meets the Act's provisions regarding program design, in particular:

preparation for postsecondary educational opportunities;

The assessment process identifies those youth with the aptitudes and interests necessary to pursue postsecondary educational opportunities. Participants are supported in this process by tutoring services and study skills training which leads to the completion of secondary school. Alternative school resources are also made available to youth, as listed below. DWS continues to partner with community colleges and higher education to help make participants make the transition into postsecondary opportunities.

strong linkages between academic and occupational learning;

Similar to the School-to-Careers effort, which promotes linkages between academic and occupational learning, WIA youth activities focus on integrating work-based learning with school-based learning. By learning SCANS foundation skills and competencies within the context of performing work on an actual job, participants will quickly associate the value of education in the world of work. One area that has been developed as a link between academic and occupational learning for project-based learning activities. This is a specific feature of the WIA Summer Youth Employment Opportunities service. These types of activities engage youth in real-work issues and requires them to learn and apply specific skills as they complete the project.

preparation for unsubsidized employment opportunities; effective linkages with intermediaries with strong employer connections;

Preparation for unsubsidized employment opportunities began with assessment information to identify interests and aptitudes, including work readiness skills. Youth entering the program without work readiness skills, may be provided an opportunity to learn at a job site by being enrolled in an unpaid internship activities. Participants will have the opportunity to participate in other work experience activities too. This not only helps provide skills and experience, but it helps youth understand what is associated with "real work" and what employers require of employees. Additionally, DWS and contract providers currently offer several workshops youth can attend in the area of job search, resume writing, interviewing, work maturity and career exploration. As DWS administers Wagner-Peyser funds, youth participants have employment exchange activities readily available. Coordination between DWS and WIA Youth contract providers is very important. As DWS strives to connect job seekers with employers, the department has very strong employer connections. Employer Relation Representatives in Employment Centers and contract staff work with the business community to provide quality unsubsidized work opportunities for youth. In addition, DWS administers apprenticeship and bonding programs youth may participate in to prepare for unsubsidized employment.

alternative secondary school services;

Providing alternative secondary school services is vital to re-engage youth who have not responded to traditional school settings. Coordination with local school districts provides this service. Many DWS and contract provider employment counselors are familiar with referral processes to alternative schools due to working with the FEP and JTPA populations. This referral process will continue under WIA.

summer employment opportunities; paid and unpaid work experiences; occupational skill training;

All of the above components are directed at preparing youth for success in employment. Summer employment opportunities are directly linked to academic and occupational learning, and are provided to eligible youth as one of the many possible service elements. Because many youth are first introduced to jobs through summer employment, this element continues to focus heavily on

work readiness skills. As the summer employment element is part of a continuity of services, it provides the needed experience for youth to transition into other types of work experience and skill training. Youth are provided work experiences that are either paid or unpaid, in the private, public or non-profit sectors. Regardless of the type of work experience, all are planned, structured learning experiences. They are designed to help youth acquire the skills and knowledge needed to locate and advance in employment. Work experiences may include incorporation of SCANS skills, internships, job shadowing, and other elements that help meet the goals of employment plans. Occupational skill training will be reserved mainly for older youth however the particular employment plan of each youth is guided by the needs identified through the assessment process.

leadership development opportunities;

Youth are provided a wide array of leadership development opportunities. Mentoring opportunities with caring adults are sought to provide consistent support and counsel. Activities and projects that help improve communities as well as citizenship and life skills training are used to help develop leadership qualities. In fact, limited 15% set aside funds have been allocated to each region specifically for an annual leadership development / citizenship project. Peer-centered activities are available to increase positive social behaviors.

comprehensive guidance and counseling;

DWS or contractor provider staff provides ongoing case management for all youth participants. Based on assessment information, youth are referred to specialized guidance and counseling if needed. Personal problems, such as drug or alcohol abuse, must be addressed as the first step to providing other comprehensive services. DWS and contract providers currently have referral pathways in place with mental health agencies. In addition, DWS employs a staff of social workers who are available to work with customers who are receiving FEP, on personal barriers. Information from assessments is shared with other appropriate agencies, such as education, to help unify and streamline the guidance and counseling process.

supportive services;

As indicated, DWS or contract provider staff currently provides many supportive services that are available to the youth population. These supportive services are offered to support individuals in their employment plans. Youth are provided with training-related services such as help with transportation and appropriate work clothing.

follow-up services;

All youth participants receive appropriate follow-up services for at least 12 months after program participation. The intensity and duration of follow-up services is based upon individual need. Follow-up services include continued adult mentoring, supportive services, leadership development opportunities and contact with employers to address work-related problems and assistance in career development and educational opportunities.

C. *System Infrastructure: How will the State enhance the systems necessary to operate and manage your workforce investment system? (111(d)(2), 112(b)(1), 112(b)(8)(B).) In your discussion, you must address the following required elements:*

1. *How will the locally-operated ITA system be managed by the State to maximize usage and improve the performance information on training providers? How will the State ensure the quality and integrity of the performance data? (§§112(b)(14), 112(b)(17)(A)(iii), 122.)*

Individual training accounts follow the voucher system currently in place with DWS for WIA and other funded training services. The training account is for the amount necessary for the customer to complete the requested training. A customer is issued a voucher for appropriate costs at a state-approved training provider, and the school bills DWS for those costs. Obligated funds follow the customer if the customer moves to another region. As stated, the limit for training services is two years and \$5000, unless the Supervisor approves an exception.

As schools will be required to report performance information, and that information is available to the general public, it is in the best interest of the training providers to keep improving performance in order to attract any student, not just one funded by the workforce system.

When the DWS Wage Data Base is used for follow-up placement data, we will be supplying the schools with placement information. Placement data integrity won't be an issue; the information will come from the DWS Wage Data Base, as discussed earlier. DWS will verify a sample of other information received from schools. Findings of incorrect performance data will be addressed with the individual school as necessary.

2. *How will your State improve its technical and staff capacity to provide services to customers and improve entered employment outcomes in accordance with section 7(a)(3)(f) of the Wagner-Peyser Act? How will your State use technology such as Jobline, "swipe card" technology, a community voice mail system or other methods to build a mediated and electronic labor exchange network? How will the State use America's Job Bank/State Job Bank Internet linkages to encourage employers to enter their own job orders on the Internet? (§112(b)(7).)*

Employment Counselors with case management functions are required to participate regularly in professional development. All Service Providers have an individual training plan which includes CORE training associated with their job duties as well as training based on individual need. Employment Counselor CORE module training was designed based on competencies (knowledge, skills, and abilities) needed to provide employment counseling and integrated DWS services. These competencies are primarily in three areas:

Employment Exchange:

- Job Referrals
- Job Orders
- Labor Market Information
- Job Connection room resources (AJB, CHOICES, WINWAY)
- Job Search activities

Employment Planning/Counseling:

- Case Management
- Assessment
- Employment Goal setting, intervention, follow up
- Knowledge of agency resources/referrals
- Job Development
- Career Planning
- Job Skills Training

- Planning and follow up
 - Occupational skills in relation to job market
 - How to access training services (approved vendors)
 - Worksite Learning Activities (O-J-T, Apprenticeship, etc)
 - Supportive Services

Supporting employees in professional development with knowledge, skills, and abilities necessary for job performance is vital to the mission and purpose of the DWS. Training new and existing employees is one of the ways we can support our organizational goals to provide quality service to our customers and improve employment outcomes.

The overall goal of the UWORKS is to support self-service customers by providing access to information and services that will assist them in finding a first job or a better job. UWORKS will also support an employment counselor's ability to provide and track services in a seamless manner to the customer, while capturing the funding source requirements internally. UWORKS will also consolidate common case management functions that currently exist in multiple DWS systems. This consolidation is necessary to reduce the data entry workload of employment counselors so they can better focus on customer service. UWORK, as the system of record, is used by WIA Youth contract providers as well as DWS staff.

As a part of this, UWORKS will assist service providers in managing case loads, scheduling resources and providing accountability for funding programs. The system will be capable of supporting both self-service and staff-assisted job seekers as well as employers in a manner that is beneficial to both. Because of the different types of users being supported, the system must accommodate multiple entry points into the system, multiple levels of security, the ability to transfer job seekers from self-service to staff-assisted seamlessly, and interfaces with external local systems. UWORKS will have the following functionality:

Self Service and Staff Assisted Components:

- Registration/Intake
- Assessment
- Employment Planning
- Labor Market Information
- Job Search Services
- Education and Training Provider Information
- Staff Assisted Components:
 - Customer Progress Tracking/Case Management
 - Eligibility
 - Monitoring/Activity Tracking
 - Intervention
 - Evaluation
 - Outcome
 - Supportive Service Planning & Tracking
 - Supportive Service Provider Information
 - Counselor Notes.

3. *How will the State improve its employment statistics system to ensure that One-Stop system customer receive timely, accurate and relevant information about local, State and national labor markets? (§§111(d)(2), 111(d)(8), 112(b)(1), 134(d)(2)(E).)*

Utah's strategy to improve its employment statistics system to ensure that One-Stop system customers receive timely, accurate, and relevant information about local, state, and national markets includes the following goals and actions:

DWS works closely with customers to improve and enhance the delivery and content of its products and services to make them meaningful and practical for users.

DWS is working to build and populate the ALMIS database with state data, as a part of America's Labor Market Information System.

DWS will work closely with the SOICC to develop a plan to collect more complete and accurate labor supply information and to link these data more carefully to demand data. This may include developing procedures for collecting better data on education and training program completers, refining labor supply and demand clusters, or writing 'cluster' narrative that would help customers better understand labor supply and demand groups of occupations.

DWS will continue to work with the Bureau of Labor Statistics to improve the Utah's employment statistics systems. DWS will install, support, provide training, and provide enhancements for the Expo 202 system used by other states and will continue to provide support and enhancements to the MicroMatrix occupational projections systems used by other states.

DWS will continue to participate on national continuous improvement teams such as the Long-Term Projections Consortium, the Short-Term Forecasting Consortium, and any other workgroups we can assist.

DWS will improve the data collection process for the Occupational Employment Statistics (OES) survey by building long-term relationships with local employers and offering participants a first-run copy of the survey data once they are published. Participants will be allowed to submit information electronically or by FAX.

V. PERFORMANCE MANAGEMENT:

- A. *For each of the core indicators identified in Section II of these instructions, the customer satisfaction indicator and additional state measures, explain how the State worked with local boards to determined the level of the performance goals. Include a discussion of how the levels compare with the State-adjusted levels of performance established for other States, taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will promote customer satisfaction and continuous improvement over the five years of the Plan. (§§112(b)(3), 136(b)(3).)*

As a single area state, Utah does not maintain separate performance goals at the local level. Nevertheless, local input to negotiated levels of performance is solicited and received through regional councils. Income potential and career opportunities among other customer characteristics are taken into account when negotiating standards with the DOL regional office. Unemployment rates and national averages for each outcome measure are variables used to estimate targets of performance. Additionally, Utah's own historical levels of performance are factored into the process. Through annual surveys, Utah tracks the correlation of services provided with overall customer satisfaction. Therefore, specific goals to increase entered employment rates, retention rates and earned income lead to greater customer satisfaction. Despite recent economic challenges, DWS should be able to meet negotiated standards of performance and improve them through continuous enhancement of procedures.

- B. Does your State have a common data system and reporting processes in place to track progress? If so, describe what data will be collected from the various One-Stop partners (beyond that required by DOL), your use of quarterly wage records, and how the statewide system will have access to the information needed to continuously improve. If not, describe the State's plans for transitioning from the JTPA to the WIA tracking system, your planned use of quarterly wage records, and the projected time frame for the system to be operational. (§112(b)(8)(B))

Utah's DWS developed and implemented a comprehensive case management and job matching system called UWORKS to track customer activities and outcomes. Additionally, DWS has a web-based data warehouse and reporting system to produce management reports to meet the information needs of the Workforce Investment Act. Data on customer participation in public assistance programs are included in both UWORKS and the data warehouse. Partnering programs such as Temporary Assistance to Needy Families, Food Stamps, Medicaid, Vocational Rehabilitation, and several contracted services are accessible through the data warehouse. Extracted wage data are also part of the data warehouse. Both UWORKS and the data warehouse were fully operational as of August 2002.

- C. *Describe the system(s) by which your State measures customer satisfaction for both job seekers and employers(beyond those elements required by the Department). How will customer satisfaction data be evaluated, disseminated locally, and used to improve services and customer satisfaction? Describe any targeted applicant groups under WIA Title I, the Wagner-Peyser Act or Title 38 (Veterans Employment and Training Programs) that your state will track. If no system is currently in place, describe your State's time frame and plan to collect this information. (§§111(d)(2), 112(b)(3), 136(b)(2)(B).)*

DWS has established a Customer Satisfaction Survey Process as part of the Executive Directors Office. The process has several components, including annual surveys and analyses of the perceptions of DWS job seeker and employer customers. Each June, DWS administers a customer satisfaction survey tool to every job seeker who enters each of the ECs statewide. This tool measures the perceptions of DWS job seekers about the quality of service in four dimensions: responsiveness, individualized service, compassion, and the core service (job search assistance). When these data are analyzed and available, the SWIB and the DWS Senior Management Team evaluate the results and develop a plan to address the issues raised by the job seeker customers. These long and short-term solutions to improve service become part of DWS goals, the progress toward which is evaluated on a regular basis. Similarly, each November, DWS surveys a statistically valid sample of its employer customers. The tool, similar to the job seeker customer satisfaction survey, measures four dimensions of the perceptions of service: responsiveness, individualized service, compassion, and core service (employment exchange). When these data are analyzed and available, the SWIB and the DWS Senior Management Team evaluate the results and develop a plan to address the issues raised by the employer customers. These long and short-term solutions to improve service become part of DWS goals, the progress toward which is evaluated on a regular basis.

Another significant element of the process is that all ECs have comment cards available to all customers so they may quickly evaluate the quality of services they receive at the moment of the service transaction. These cards may be dropped in an accompanying suggestion box, handed to any DWS service provider, sent postage prepaid to the DWS administration office, or called in to the Customer Relations Specialist. All comments gathered in this process are logged and reported to the senior management team and all EC managers. Issues requiring immediate attention are addressed and follow-up occurs for all comments, including favorable reviews. This process does not target specific groups for measurement. Rather, specific groups are encompassed within the survey method.

Finally, all service providers are encouraged, at all customer service exposures, to ask how DWS service can be improved. Service providers are empowered with maximum latitude to resolve customer complaints. To oversee this system, and to act as a liaison with the SWIB, the Executive Director has appointed a Service Quality Manager.

- D. *Describe any actions the Governor and State Board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system.*
(§§111(d)(2), 112(b)(1).)

To ensure the collaboration with key partners, the SWIB contains in its membership representatives of: small and large employers throughout the state, public instruction, higher education, employees or employee organizations, customers served (including community-based organizations), veterans, the Utah Office of Rehabilitation, the Utah State Legislature, the Utah Departments of Human Services, Community and Economic Development, and Health. Although most of the key partners are part of the one-stop delivery system in Utah, the SWIB has developed and entered into memoranda of understanding with all of the key partners to govern the operation of the one-stop delivery system in Utah. The SWIB, collaboratively with the key partners, ~~will~~ regularly evaluate the performance and customer satisfaction measures and data for the purposes of continuous improvement of the statewide workforce investment system.

One-Stop Partners are primarily responsible for providing those services which they are authorized to deliver and for which they are provided funding. In order to link services provided by One-Stop Partners, Partner staff are cross trained to become knowledgeable about eligibility requirements of the services provided by each Partner. Also, links to other Partners' services are provided by having "hot button links" on the website of each Partner. UWORKS provides Partners the option of utilizing and accessing a common database that contains information about clients, such as employment plans, assessments, and other services that have been provided. One-Stop Partners are encouraged to co-locate staff in the One-Stop Employment Centers. When co-location is not feasible, the One-Stop Partners continue to collaborate on referral pathways to affiliate sites. Currently, DWS has Utah State Office of Rehabilitation, Utah Department of Health, Office of Recovery Services and Title V Older Worker staff co-located in many One-Stop Employment Centers. Referral pathways have been established for referring customers who need adult education services to affiliate sites. Even though some staff is co-located, the employing agency usually is responsible for salaries. Other co-location costs, such as space rental and equipment use is directly charged back to the Partner. Partners who wish to have access to the UWORKS are responsible for costs related to connecting Partners to the system, purchasing and maintaining equipment, developing and maintaining security profiles and any additional development. These costs are directly charged back to the Partner. Access to UWORKS is granted to partnering agencies after careful consideration by DWS Legal Division concerning the sharing of information. One-Stop Partners are not required to use their funds for individuals who are not eligible for the Partner's program or for services that are not authorized under the partner's program.

To ensure collaboration with required Partners, an "Umbrella" Memorandum of Understanding has been written and signed by required Partners. Members of the SWIB reviewed and approved the MOU and each member is committed to reduce duplication of funding and duplication of services so that seamless services can be provided to customers. Leveraging of funds allows the Partners to serve the universal customer more efficiently. DWS was founded upon many of the same principles as WIA. Governor Leavitt's vision in introducing legislation to create DWS was to reduce duplication in spending state and federal funds as well as eliminating the duplication of services. Utah's SWIB has been in place since July 1997 and its members have taken an active role to ensure that Utah builds a quality workforce system. Partnerships and collaboration between the required partners have been taking place for many years prior to the creation of DWS and the signing of the WIA. Those partners already consolidated into DWS have already exhibited the highest commitment to collaboration by being part of the Department.

The Performance and Evaluation Committee of the SWIB receives and reviews all performance reports as well as the results of on-site program evaluation visits. They use that feedback to determine how well DWS is continuously improving. This issue is addressed in the next section of the plan.

- E. *How will the State and local Boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the State take if performance falls short of expectations? How will the Boards use the review process to reinforce the strategic direction of the system? (§§111(d)(2), 112(b)(1), 112(b)(3).)*

The SWIB monitors the performance standards that have been negotiated by the Governor of Utah and the Secretary. Prior to WIA, the SWIB developed a strategic plan that included performance standards. Since July 1, 1997, the SWIB has been evaluating DWS performance and its members have provided recommendations to ensure that DWS continues to improve performance. Reports on WIA performance standards are provided to members of the SWIB at its quarterly meetings and the same evaluation process takes place. If performance is not up to the standard, the first thing to review is whether it is a statewide issue or only one or two regions are low. Assistance is provided by SDS in relevant areas. As DWS administers all WIA services, we focus on what can be done to improve performance internally rather than impose sanctions on DWS offices. All customer surveys should show an increase in satisfaction; a lower measurement would require some investigation into why customers are less satisfied than the previous year. Performance reports are developed by collecting measurement data that is reliable. Members of the SWIB continually review DWS's progress in achieving the goals and objectives outlined in WIA and the DWS strategic plan. If the SWIB identifies performance standards that are not achieving the negotiated performance goals, it can recommend that technical assistance be provided by DWS or Department of Labor staff. If DWS fails to demonstrate continuous improvement in all performance goals after receiving technical assistance, then DOL may sanction DWS by reducing the amount of funding DWS receives to operate and administer core, intensive, and training services. DWS Code of Ethics states "We are accountable." This means we are: Reliable in carrying out our assignments and responsibilities, Fair and considerate in our treatment of customers, Dedicated to providing responsive and high-quality services. These principles continue to drive DWS to achieve its performance goals and to continue its reputation as a high performance State agency.

Attachment D

LOCAL PLANNING GUIDANCE FOR SINGLE WORKFORCE INVESTMENT AREA STATES

I. Local Plan Submission

Section 118 of the Workforce Investment Act requires that the Board of each local workforce investment area, in partnership with the appropriate chief elected official, develop and submit a comprehensive 5-year Local Plan for activities under Title I of WIA to the Governor for his or her approval. In States where there is only one local workforce investment area, the Governor serves as both the State and local Chief Elected Official. In this case, the State must submit both the State and Local Plans to the Department of Labor for review and approval. States may (1) submit their Local Plan as an attachment to the State Plan or (2) include these elements within their State Plan, and reference them in an attachment.

The State Planning Guidance on Plan modifications and the Plan approval process applies to a single workforce investment area State Local Plan, with one addition: The Department will approve a Local Plan within ninety days of submission, unless it is inconsistent with the Act and its implementing regulations, or deficiencies in activities carried out under the Act have been identified and the State has not made acceptable progress in implementing corrective measures. (§112(c).)

II. Plan Content

In the case of single workforce investment area States, much of the Local Plan information required by section 118 of WIA will be contained in the State Plan. At a minimum, single workforce investment area State Local Plans shall contain the additional information described below, and any other information that the Governor may require. For each of the questions, if the answers vary in different areas of the State, please describe those differences.

A. Plan Development Process

1. *Describe the process for developing the Local Plan. Describe the process used to provide an opportunity for public comment, including how local Chief Elected Officials, representatives of businesses and labor organizations, and other appropriate partners provided input into the development of the Local Plan, prior to the submission of the Plan. (§118(b)(7).*

This was addressed in section I.A.

2. *Attach any comments received on the Local Plan (or a summary) , and demonstrate how comments were considered in the Plan development process. (§118(c)(3).)*

This was addressed in section I.B.

B. Services

1. *Describe the one-stop system(s) that will be established in the State. Describe how the system(s) will ensure the continuous improvement of eligible providers of services and ensure that such providers meet the employment and training needs of employers, workers and job seekers throughout the state. Describe the process for the selection of one-stop operator(s), including the competitive process used or the consortium partners. (§118(b)(2)(A).)*

This is addressed comprehensively in section III.B.1 and 2. With the passage of HB375 in 1996, DWS was created and thereby authorized as the sole operator of the One-Stop system statewide. The State Council made the recommendation to the Governor that DWS be authorized as the administrative entity and One-Stop Operator for the WIA. As many WIA partners serve on the State Council, a consortium of partners was used.

2. *Include a copy of each memorandum of understanding between the Board and each One-Stop partner (including the Wagner-Peyser Act agency). (§118(b)(2)(B).)*

See Attached Copies.

3. *Describe and assess the type and availability of adult and dislocated worker employment and training activities. (§118(b)(4).)*

With the work-first philosophy already in place at DWS, customers have not seen a major difference in how services are provided. WIA-allowable activities are available now at DWS ECs and continue to be available for DWS customers, depending on their needs and goals for employment. Labor exchange activities are funded through Wagner-Peyser as well as WIA and other DWS funding streams, and are described elsewhere in this document. Child care and unemployment compensation are a part of DWS. Customers who require more assistance in their job search are provided testing, counseling, job search skills, and other services to help them become successful in their job search.

All customers going into training services receive a comprehensive assessment and have an employability plan outlining their goal and interim objectives. The state-approved list of training providers meets employment counselors' need for performance information, and assures that those schools who cannot provide skills necessary in today's labor market do not receive training funds.

Support services are provided as necessary and will be available through WIA only if not available elsewhere.

4. *Describe and assess the type and availability of youth activities, including an identification of successful providers of such activities. (§118(b)(6).)*

As Utah is a single local area under WIA, all youth activities follow the guidelines outlined in previous sections. All youth activities and services are provided in accordance with the Act. The criteria for awarding contracts to youth providers are detailed in section III.

C. *System Infrastructure*

1. *Identify the entity responsible for the disbursement of grant funds, as determined by the Governor. Describe how funding for areas within the State will occur. Provide a description of the relationship between the State and within-State areas regarding the sharing of costs where co-location occurs. (§118(b)(8).)*

The Department of Workforce Services has been designated the administrative entity for WIA, and is responsible for the disbursement of grant funds. Costs are allocated in compliance with the Office of Management and Budget Circular A-87 and DHHS and DOL interpretation letters and in accordance with the approved DWS cost allocation plan. For example, costs are allocated to all benefiting programs and based on relative benefits derived. This means that if any program benefits from an activity or cost, then costs must be allocated to each program. Where multiple programs are involved, a single program may not be designated as the sole benefiting program (primary program).

2. *Describe the competitive process to be used to award the grants and contracts in the State for WIA Title I activities. (§118(b)(9).)*

DWS provides all services to adult and dislocated worker customers. This section may be modified if the SWIB determines that services may be provided more efficiently by another entity. State procurement policies are followed if the determination is made that another entity may be able to provide service more efficiently.

WIA Youth program is delivered by the grant recipient, (DWS in Utah), or included in the request for proposal as part of the competitive selection process. Refer to Section III, B, 1, c, iii, for additional information on WIA Youth and the competitive process.